

FINAL DRAFT

Indiana Department of Workforce Development

Strategic Five-Year State Workforce Investment Plan

State of

Indiana

For the Period of

July 1, 1999 - June 30, 2004

Full Plan

FINAL DRAFT

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EXECUTIVE SUMMARY

Economic and Workforce Goals

Indiana's economic and workforce goals are centered around three investment priorities:

- Development of regional economies.
- Development of the incumbent workforce, which includes all current workers.
- Development of the future and potential workforce.

Progress will be measured by such indicators as increase in average value added per wage dollar; increase in employee wages; increase in the percentage of workers with skill certificates and degrees; and increase in students who pursue post secondary education.

The statewide workforce investment system will support these goals through regional planning based on labor markets; establishment of Incumbent Worker Councils as subgroups of the Workforce Investment Boards, linkages between School-to-Work Partnerships with Youth Councils; and utilization of technology to improve common data collection, access to services, and electronic commerce.

Overview of Accomplishments

Development of Indiana's one-stop system began in 1985. The following outlines the steps in system development:

- 1985 Strategic plan developed which called for state and local integration of Job Service and JTPA. A series of forums was held to assist local entities in responding to joint plan instructions.
- 1986 Indiana submitted a single State Plan to USDOL for JTPA and Wagner-Peyser. A functional realignment of staff occurred between the state agencies responsible for these resources.
- 1987 The Department of Employment and Training Services (DETS) was statutorily established.
- 1988 Local co-location efforts were proceeding at a steady pace. DETS completed its first year of Customer Satisfaction surveys of both employers and job seekers.
- 1989 Integrated Services Contracts were developed between Private Industry Councils (PICs) and DETS to cover the costs of local integrations and work agreements. A consistent statewide identity was developed for the unified system.
- 1990 Six "Workforce Indiana Centers" were piloted. These centers first implemented the concept of the Information Resource Area (IRA) which is a hallmark of Indiana's one-stop centers.

- 1991 The Department of Workforce Development (DWD) was created by Executive Order. The Order merged DETS with the Commission on Vocational and Technical Education and Office of Workforce Literacy.
- 1992 The Workforce Indiana Center concept was expanded to all 16 Service Delivery Areas so that each area would have a universal access one-stop with an IRA.
- 1993 The State Human Resource Investment Council was established legislatively, with oversight for JTPA, Wagner-Peyser, Perkins, and Adult Basic Education. A cooperative agreement was signed between DWD and Title V of the Older Americans Act to require local joint agreements and joint projects.
- 1994 Indiana submitted a unified state plan for Carl Perkins, EDWAA, JTPA, Wagner-Peyser, Workforce Literacy, and Unemployment Insurance. DWD was established by state law. A "common intake" pilot was initiated.
- 1995 Indiana received a One-Stop Planning Grant and One-Stop Implementation Grant.
- 1998 A Workforce Investment Act Steering Committee was established comprised of the agency heads for all the mandatory and voluntary partner resources. The Customer Self-Service System (CS3) was implemented.

System Description

Indiana's One-Stop system consists of 27 centers that meet Indiana's definition of a One-Stop:

- Full time application access to JTPA IIA, IIC, IIB, III, and older worker; UI, Wagner-Peyser; TAA/NAFTA-TAA; WOTC; LVER/DVOP; and access to Title V Older Worker.
- An Information Resource Area meeting the state's requirements for equipment, software, community resources; labor market information; education institution information; career and job resource topical library and publications and videos; and other locally determined content.
- Qualified counselors able to serve all populations.

The One-Stop offices and ancillary locations have many additional partners and linkages beyond the state minimum. These are described more fully in the plan.

Changes in the System in the Next Five Years

Over the course of this plan, we anticipate:

- Development of common data collection and reporting mechanisms for all the partners to the extent supported by changes in federal agency level coordination and policy requirements.

- Development of strong, independently staffed Workforce Investment Boards with broad oversight authority.
- Development of regional plans that are based around labor markets, not administrative delivery areas, and that plan beyond the scope of federal categorical programs.
- A more "demand-driven" system with emphasis on people currently working.
- Through the state level Steering Committee, "joint ownership" of the One-Stop system including the Workforce Investment Boards; mutual accountability for outcomes; and support for local flexibility and decision-making.
- Greater access to government services through the use of technology so that the public may search for jobs; submit wage and tax data; access labor market information; and apply for one-stop services without leaving their home or business.

Improvements in Performance

Performance of the "system" is not currently known. Data collection and reporting mechanisms have not existed to enable us to look beyond individual program performance.

Over the next five years we will develop a capacity to baseline and measure how the components of the system interact to improve the quality and quantity of outcomes.

I. Plan Development Process

- A. *Describe the process for developing the State Plan (including a time-line) that ensures meaningful public comment. Include a description of the Governor's and the State Board's involvement in drafting, reviewing and commenting on the Plan. What actions did your State take to collaborate in the development of the State plan with local elected officials, local WIBs, the business community (including small businesses), labor organizations, and the other interested parties, such as service providers, community-based organizations, and advocates?*

The development of the WIA components of the State Plan are described throughout this document. Please see "Section III. Assessment/State Readiness Analysis/System Infrastructure/a. Local Workforce Investment Areas" for background on the planning events that pre-dated the Workforce Investment Act itself and led to the basis for a bill in the state legislature to implement the Act. The section identifies the elected officials and groups to whom a draft workforce investment area map was released on November 5, 1998.

The cover letter included an invitation to participate on a series of workgroups. Additionally, the workgroup descriptions and sign-up procedures were posted on the Department of Workforce Development's (DWD's) web page. Workgroup volunteers represented a wide variety of individuals, included representatives from all the partners, business, labor, education, and others.

Workgroup minutes were posted on the web page. Additionally, draft policies derived from workgroup input were posted for comment throughout their development (November, 1998 to the present). Breakout groups at a meeting of the State Human Resource Investment Council (State Workforce Investment Board) in December, 1998, discussed some of the major policy areas to obtain members' input. The director of the state board is a member of the State Steering Committee.

The State Steering Committee is comprised of the agencies representing required and optional partners in the One-Stop system. The core of the Steering Committee began meeting in 1997 when a state legislative study committee (described elsewhere in this plan) began addressing fragmentation in the system. The expanded committee began meeting every two weeks starting in November, 1998. Input from all these sources formed the basis for the content of this document.

The first draft of the WIA portions of the state plan was posted on the DWD web site on March 1, 1999. Notice of this posting and the date and

time of the public hearings was sent to all local elected officials, private industry council chairs, DWD program directors, SDA directors, AFSCME, Unity, the State Chamber of Commerce, School-to-Work contacts, Association of Indiana Counties, Indiana

Association of Cities and Towns, Indiana Association of Rehabilitation facilities, AFL-CIO, UAW, many others, and the Steering Committee (the latter took responsibility for notifying their staff and/or grantees). Public hearings were held on March 22, 23 and 24 in the Northern, Central, and Southern parts of the State. See Attachment #1.

The State Human Resource Investment Council (State Workforce Investment Board) met on March 30 to review the comments.

The purpose of funding under the Indiana Five Year State Plan for the Use of Funds Under the Carl D. Perkins Vocational and Technical Education Act of 1998 (see Attachment #13) is to develop more fully the academic, vocational, and technical skills of secondary students and post secondary students who elect to enroll in vocational and technical education programs. The Plan has four purposes: 1) to guide state agencies involved in technical education over the next five years; 2) to cite the goals, strategies, and objectives of the Indiana Commission on Vocational and Technical Education (ICVTE); 3) establish the focus of activities of the Indiana Department of Education (DOE), Commission for Higher Education (CHE), Department of Correction (DOC) and local schools and post secondary institutions over the next five years; and 4) to be the foundation for development of the annual performance reports.

Public hearings were held across the state between March 1 and March 8, 1999 for the public and interested organizations and groups (including employers, labor organizations, and parents) to have an opportunity to express views and make recommendations concerning the Perkins plan. The Perkins portion of this unified plan was developed in consultation with teachers, eligible recipients, parents, students, interested community members, representatives of special populations, representatives of business and industry, and representatives of labor organizations. The plan was developed in consultation with the Governor, as well as with the Indiana Department of Education as the state agency responsible for secondary education, and the Indiana Commission for Higher Education as the state agency responsible for the supervision of Indiana's public post secondary institutions, including two and four-year programs. A summary of the recommendations made at the Public Hearings, through written correspondence, and through other means concerning development of the Perkins plan are included in the Appendices to that plan.

The Family and Social Services Administration (FSSA) is the designated state agency for vocational rehabilitation services. FSSA, prior to adoption of any policies or procedures governing the provision of vocational rehabilitation services under the Vocational Rehabilitation Services State Plan (found in Attachment #14) and supported employment services under the supplement to that plan, conducted public meetings throughout the state to provide the public, including individuals with disabilities, an opportunity to comment on the policies and procedures. Three of the eight public hearings were held in conjunction with the public hearings on the WIA/Wagner-Peyser portions of this unified plan.

The Welfare-to-Work Plan for Indiana, was initially developed during a policy roundtable held February 22, 1999, for staff of Private Industry Councils, Indiana Manpower

Placement and Comprehensive Training (IMPACT), local Division of Families and Children (DFC), DWD, and Township Trustees. The draft was forwarded to a long list of both public and private entities seeking comments. Interested parties and the general public were invited to a public hearing on March 15, 1999 to discuss the revised state plan. The plan may be found in Attachment #15.

The following summarizes the events and groups involved in the development of Indiana's vision and implementation for the workforce Investment Act.

1997 Two-year study committee created by state legislature to identify multiple sources and amounts of federal, state and local funds used for workforce investment activities, multiple entities involved in administration of funds at the state and local levels, and making recommendations on how best to coordinate overlapping funding sources and activities. Study committee meetings 1997-1999 invited public testimony. Testimony was provided by educators, JTPA service delivery area directors, Private Industry Council chairs, labor, and others.

1997-99 In response to the study committee and input from testimony, regular meetings were held among the leadership of the Department of Workforce Development, Family and Social Services Administration, Commerce, and Education. The Family and Social Services Administration includes TANA, Vocational Rehabilitation, CSBG and title V.

Spring, 1998 The state agencies jointly released "Regional Workforce Board parameters and Guidelines" to a broad array of stakeholders, including elected officials, state agencies, all local One-Stop partners, labor and business, to provide a framework for local elected officials to voluntarily establish regional boards with broad authority for workforce programs. One of the stated goals in the guidelines was "establishment of common regional boundaries based on labor market realities."

Fall, 1998 The Labor market Information Unit of DWD collected substate maps for many different programs and "systems." The unit developed a draft map of regional labor markets with input from the State Human Resource Investment Council (which is Indiana's State Workforce Investment Board), Indiana Economic Development Council, and affected state agencies.

November, 1998 The draft map was broadly distributed across the state to dozens of different stakeholders; elected officials, business associations, labor, all One-Stop partners, educational institutions, local board and councils, etc. for comment. Comments were collected and discussed by representatives from the State Human Resource Investment Council, DWD, and Indiana Economic Development Council to arrive at a final map of workforce investment planning regions.

The cover letter for the draft map invited participation on implementation workgroups for the Workforce Investment Act.

November, 1998-March, 1999 Workgroup meetings were held on Workforce Investment

Act implementation issues. The groups were: One-Stop Access and tiered Services; Performance Accountability, Data Collection, and Reporting; Memorandum of Understanding; Eligibility Training Provider; JTPA Close-out; WIA Financial Management; Training and Capacity Building; Identity and Marketing; Demand Side Strategies; Individual Training Accounts; Rapid Response and Dislocated Workers; Youth; Criteria for Workforce Investment Board Appointments; Labor Market Information. These are the major issues under WIA, and in essence, the components of the state plan. Sign-up for workgroups was available via the Internet, phone and fax. All One-Stop partners participated in the workgroups.

December, 1998-March 1999 Workgroup minutes were posted on the Internet as well as made available through more traditional means. Steering committee members (the heads of the state agencies responsible for various One-Stop partner resources) were included on the mailing list for all policies to allow them to share with their systems. The Steering Committee, which evolved out of the group that addressed workforce investment issues raised by the legislative study committee mentioned above, continued to meet regularly to examine progress and discuss the future of the system. The executive director of the State Human Resource Investment Council is a member of the Steering Committee.

December, 1998 Breakout discussions were held at the State Human Resource Investment Council meeting around major issues under WIA to provide additional input into the state plan.

February, 1999 Draft state plan released. A broad array of stakeholders (as above) were notified of availability of draft on the Internet and hard copy. Notification was provided of public hearings. The public hearings included Vocational Rehabilitation's State plan.

March 1999 Three regional public hearings were held around the state, sponsored by the State Human Resource Investment Council. The State Human Resource Investment Council met to react to written and oral comments received on the plan and provide their own advice and input.

Thus, all partners and the State Board were involved in development of the plan. Continued participation will take place through the steering committee and State Board meetings. Also, we are planning a "policy day(s)" part way into the first program year to review implementation policies. All partners may participate in policy day.

B. *Include all comments received (or a summary), and demonstrate how comments were considered in the plan development process.*

Many comments were simple questions asking for clarification or detail which would be more properly addressed by a direct response rather than in the plan. Several of the questions are addressed in state policies which are available on the DWD web site, but which were not released specifically with the draft plan. A personal response will be provided to commentators who posed such questions. Substantive comments were received on the following major issues:

Living Wage

Three commentators expressed concern regarding the growth of jobs that pay less than a "living wage." A December, 1998 report entitled "Working Hard, Earning Less: The Story of Job Growth in Indiana" by the National Priorities Project in collaboration with Jobs with Justice calculated that a living wage for a family of four in Indiana is \$30,958 per year. It pointed out that three of the four jobs with the most projected job growth are retail salespersons, cashiers, and waiters and waitresses, none of which pay more than \$13,894 on the average, and tend not to provide health care or pensions.

We are very much aware of this critical problem. We are also aware that employers can not pay high wages for low skill jobs. Greater post secondary attendance and lifelong skill training are key to upgrading the workforce in order to attract higher skill, higher wage jobs to Indiana. The Indiana Human Capital Retention Project, funded by a grant from the Lilly Endowment, Inc., with additional funding from the Indiana Commission for Higher Education and Indiana State Chamber of Commerce is conducting research into Indiana's stock of human capital. The resulting research will help guide strategies for investments in economic development, post secondary education, and job training.

We must also bear in mind that entry level jobs that pay less than \$30,958 per year will always be an important part of the economy. For new labor force entrants such as students and welfare recipients, such jobs may be a necessary first step in developing work maturity skills and demonstrating a work history. These jobs may also provide income while an individual is attending school to increase his/her skills. For individuals with severe disabilities or older individuals who can not or choose not to work full time, these jobs may provide income and satisfying employment. For all incumbent workers making less than a living wage, however, local boards and all partners need to encourage and provide access to lifelong learning opportunities to assist workers in moving up the skill and income scale. The wages paid by employers are already a consideration by the Departments of Workforce Development and Commerce when investing in projects. In the Goals section of this plan, it is noted that, among other things, we will be measuring our progress by increases in employee wages. We expanded this goal by adding, "Increase in employee wages, with a living wage as a target." We will be working with our labor partners to help us address these concerns. Labor must comprise 15% of each local Workforce Investment Board (WIB), and currently comprises 17% of the State Human Resource Investment Council (which will serve as the State Workforce Investment Board). The business representatives on the local WIBs must include employers who have unionized workforces. Each WIB will appoint an incumbent worker council, which will be 33% labor. Through the planning and oversight functions of the state and local boards, we believe the opportunities are strong for business, labor, and state and local government to work together toward a higher standard of living for all Hoosiers.

Labor Involvement in Training Design

Commentators recommended a stronger role for labor in training design. The paragraph above outlines our involvement of labor in planning and oversight of the system, which

goes far beyond the requirements of the Act. Additionally, our policy for On-the-Job Training (OJT) and Customized Training (CT) requires that when a collective bargaining agreement covers the positions being trained for, the bargaining unit must be identified and an official of the bargaining unit must sign off on the agreement. Word changes were made in various parts of the plan as well. For example, where we had written, "The system will be sensitive to the changing demands of the workplace and include employers as partners in the design of skills standards and building of the future workforce," we changed the wording to say, "employers and labor."

Pell Grants

Commentators recommended that clear language be developed to indicate the appropriate allowable uses of Pell Grants. Such language is contained in the policy regarding Individual Training Accounts and Coordination of ITAs with other Grant Assistance (Attachment #3).

Work First Philosophy

Concern was expressed that all training would be post hire, and that individuals would not receive core and intensive services prior to training. This issue is addressed in the One-Stop System Design Basic Principles (Attachment #9) as well as in the ITA policy (Attachment #3).

Leveraging of Funds

We had indicated that dislocated worker projects would require at least 10% of the project costs to come from non-federal and non-state dollars. Concern was voiced that workers may be denied services if this requirement couldn't be met by the community or employer. The language was changed to "encourage" rather than "require."

Rapid Response

A recommendation was made that WIBs be required to respond to dislocations of 49 or less. Not every dislocation event warrants rapid response. Due to limited funds, decisions must be made regarding the number and nature of the jobs being lost and the workers' opportunities for re-employment.

Language was added pursuant to the recommendation made that initial early intervention would include on-site contact with employer, *union*, and employee representatives.

Contracting

Requests were made for more detail on how incumbent worker funds and discretionary resources under the 25% rapid response set aside would be distributed. There is a section within the plan on procurement. The new incumbent worker fund proposed in the state legislature was appropriated \$6.5 million. Internal and external committees are being convened to formula policy recommendations for use of the funds. Access to incumbent worker training funds under the state Workforce Investment Now (WIN) program are explained in a brochure and in a DWD Communication. Distribution of the state set aside for rapid response may be competitive or may be sole sourced consistent with state and

federal guidelines depending on circumstances.

The State Human Resource Investment Council's discussion of the plan and comments received at the hearings included:

- The unified plan needs to be linked to the state's economic development plan, and needs to be in "lay" language rather than compliance format. Economic development should be concerned with attracting living wage jobs to the state. A "lay language" plan should outline where we've been, a baseline for where we are now, and where we are going. The most current state economic development plan will be published in about six weeks. At that time, both the unified state plan and economic development plan will be developed into a short, but comprehensive piece written for the general public.
- We need to be clearer about our vision for accessibility to core services, especially in rural counties. "Universal access" may be available only for those who are able to travel to one-stop centers.

Internet access to the state's labor exchange system is planned to be developed within the next year, which will greatly enhance accessibility. Additionally, establishing a "system" means that we can look to our partners for help in broadening universal access. Although there are only 27 one-stop centers, there. We will encourage and support local partners in utilizing each other's sites in a "no-wrong door" approach to service delivery are offices of the state in all 92 counties, offering a variety of different partner services.

- Entrepreneurialship should be encouraged in addition to placing individuals in existing jobs.
We will look for ways to foster entrepreneurial thinking, particularly in school-to-work activities where our next generation workforce is currently developing ideas about their place in the world of work.
- More development is needed on the leveraging aspects of the plan. There are private sector dollars being expended for training that we should link into.

We will work with the state board and local WIBs over the next few years to flesh out such linkages and our expectations for leveraging resources.

The unified plan is an evolving document. We anticipate further developing the critical concepts of a one-stop system throughout the life of the plan. The state board will oversee our continuous improvement efforts and hold the local WIBs, the state agencies, and the one-stop partners accountable for implementing a quality system.

II. State Vision and Goals

A. State's Goals

Describe the State's Broad strategic economic and workforce development goals.

Indiana's competitiveness will be determined by its ability to sustain a high and rising standard of living for its citizens in a complex global environment. The surest way to invest in our future is to invest in our workforce -- both current and future. New standards for competition increase the importance of learning. New technologies accelerate the pace of change and add to learning requirements. Higher levels of reading, writing, math, and technical skills are required even for basic entry-level jobs. Workers must have the ability to adapt rapidly to new ideas and circumstances. A 1995 Business Climate Survey showed that in Indiana's growing economy, businesses are more concerned about gaining an advantage from their critical inputs (e.g., labor skills) and from greater efficiency of public systems than about tax levels or specific laws.

Our challenge is not just about people and jobs. It is also about income and standards of living. Many people who have lost their jobs due to changes in the global market and technology are going back to work for lower wages. Overall, there is a job gap, not a worker gap. The Indiana economy would need 10,078 more jobs if everyone that was unemployed and on welfare were to be placed in a job. We would need 30,554 more low skilled jobs to accommodate all the low skilled unemployed. But there are 20,476 more skilled job openings in Indiana than there are qualified workers. (Indiana Economic Development Council, September 1998).

Indiana's challenge is not so much a worker shortage as it is a skills shortage. It is not so much a challenge of job creation as it is income creation. Income needs vary by individual, depending on family size and financial obligations. Individuals will be eligible for training if they are not self sufficient as determined by individual income needs.

Indiana is committed to building a user-friendly system that will help Hoosiers bridge the skills gap and maximize their earning potential. The system will be sensitive to the changing demands of the workplace and include employers and labor as partners in the design of skills standards and building of the future workforce.

VISION

Indiana will have the most qualified high performance workers in the nation and the most user-friendly public-private system for customers (students, workers, and employers) to access the resources they need for lifelong learning and training.

Indiana's Workforce Investment Priorities:

Development of Regional Economies

Indiana is not one economy, but several unique regional economies. One of Governor Frank O'Bannon's priorities for workforce and economic development is development of these regional economies.

Progress will be measured by:

- Increase in average value added per wage dollar on county level productivity measures.
- Increase in employee wages, with a living wage as a target.
- Reduction of unemployment in pockets of high unemployment.

Challenges:

- Indiana ranks 36th in the nation in wage growth.
- Indiana ranks 43rd in value added per wage dollar.
- Since 1969, total personal income for Indiana, adjusted for inflation, has grown by 84%, but the nation has seen an advance of 124% during the same period. As a result, our share of total personal income has declined from nearly 2.5% in 1969 to just over 2% in 1997. Our decline in share of the nation's income has come primarily from earnings.

Development of the Incumbent Workforce (which includes all employed individuals, especially the working poor)

The majority of individuals who will be working in the year 2010 are working today, and many do not take advantage of lifelong learning opportunities. To ensure Indiana's competitive position and future economic growth, we must help our current workers develop the skills they need to prosper in the years ahead.

Progress in each regional economy will be measured by:

- Number/percent of workers who possess:
 - A high school diploma or GED
 - Certificate of Technical Achievement (State designed proficiency Certificate for Technical Skills)
 - Associates Degree (especially in manufacturing technology)
 - Bachelor's Degree
 -

Any other state or nationally recognized skill credential which is documented and portable.

- Increase in personal investments in skill development and further education. Federal and state dollars may leverage such investment.
- Increase in private sector investments in the workforce. Federal and state dollars may leverage such investment.

Challenges:

- Indiana ranks 45th nationally in the percent of adults with post secondary education.
- More than 20% of Hoosier adults do not have a high school diploma or GED.

Development of the Future and Potential Workforce

Employers are experiencing increased difficulties recruiting qualified workers. A low unemployment rate means less labor availability. Those who are available for entry level work may lack the skills necessary to succeed. Large numbers of skilled workers in many industries are nearing retirement age.

The future workforce will be developed through school-to-work initiatives, including technical education, alternative education programs for students unable to benefit from traditional school environments, and work-based learning opportunities for all students. The potential workforce includes public assistance recipients, individuals with disabilities, underemployed individuals looking to move into higher skilled careers, and graduates of post secondary education who may leave the state.

State agency partners in this effort include the Department of Workforce Development, Family and Social Services Administration, Department of Education, Department of Commerce, the Professional Standards Board, and the Commission on Higher Education. In some cases, performance is a measure of our influence, our policy development, and our marketing efforts rather than a result of direct funding of services. Nevertheless, we must all take ownership of, and responsibility for, the outcomes.

Progress will be measured by:

- Graduation rates based on 4 grades.
- Retention and recovery of dropouts through alternative education.
- Percent of students passing ISTEP (Statewide Proficiency Testing for K-12 youth).
- Percent of students earning Certificates of Technical Achievement or any other state, local, or nationally recognized certification.
- Increase in the percent of students who pursue post secondary education.
- Increase in the percent of secondary students engaged in work-based and school-based school-to-work activities.

Challenges:

- 54% of the class of 2000 passed ISTEP.
- Of Indiana's high school graduates, 55.2% of 1997 graduates enrolled the following year in post secondary education.
- Indiana's graduation rate (based on 4 grades) was 87.69% in school year 1996- 97.
- In school year 1997-98, 1.2% of all completers of occupationally specific programs were awarded Certificates of Technical Achievement. The percent that achieved certification of any kind, however, was 64%.
- Indiana has a limited number of secondary students engaged in work-based learning activities. A survey of local School-to-Work partnerships revealed that 2% of students in reporting School-to-Work partnerships participated in job shadowing or mentoring activities compared to 7% nationally; 3% in paid or unpaid internships compared to 4% nationally; 2% in paid or unpaid apprenticeship activities compared to .5% nationally.
- Indiana has a limited number of students participating in school-based school- to-work activities. A survey revealed 18% used a work-related curriculum compared to 37% nationally; 18% used integrated vocational and academic curricula compared to 26% nationally; 4% used work-based learning connected to integrated curriculum compared to 10% nationally.

B. State's Vision

Describe the State's vision of how the WIA statewide workforce investment system will help the state attain these strategic goals. Specific questions that should be answered include: in five years, how will services be further streamlined? What programs and funding streams will support service delivery through the one-stop system? Typically, what information and services will be provided and how will customers access them? How will the goal of universal access be ensured? For customers who need training, how will informed customer choice and the utilization of ITAs be maximized?

How will Wagner-Peyser and UI be fully integrated into the system? How will the state's workforce investment system help achieve the goals of the state's welfare, education, and economic development systems? How will youth programs be enhanced and expanded so young people have the resources they need to succeed in the state's economy? Address specific emphases of Title I of the Act and provide a brief description of the system after five years.

Indiana's goals are much broader than the Workforce Investment Act. WIA Title 1 is but one funding source among many that will help attain these goals. Federal WIA Title 1 outcomes are inadequate to measure our progress.

Since Indiana's future is dependent on how well we address the skill needs of the current workforce and increase personal income, the opportunities under WIA and the statewide system to meet these needs will be maximized:

- After required state activities are satisfied under 134(a)(2)(B), Indiana will maximize the use of funds reserved under 128(a) and 133(a)(1) for incumbent worker training projects. The funds reserved under 128(a) and 133(a)(1) for incumbent workers are the fourth leg of a set of funds that comprise the Advance Indiana initiative. The first three are financed through state resources:

ADVANCE INDIANA

- Gain Education and Training (GET): develops transferable skills in any industry or occupation. Companies or organizations receiving GET funds must engage in training activities that result in a college degree, GED, apprenticeship status, Certificate of Technical Achievement (CTA) or other recognized certification.
- Workforce Investment Now (WIN): targeted to companies where there are recognized risks such as non-seasonal lay-offs, reduction in productivity or quality, or loss of a product line.
- Companies applying for WIN need to demonstrate quantifiable outcomes for the employer, such as an increase in production efficiency or quality, and for the employees who receive the training. Workers are expected to attain a portable credential.
- Skilled Trades Apprenticeship (STA): STA grants help ensure that Indiana manufacturers have the employees skilled in industrial trades needed to operate in a productive manner. The grants assist firms with training costs associated with industrial trade apprenticeships and upgrading skills of journey persons.

Training participants must be members of joint labor-management training committees and enrolled in courses approved by BAT. Ivy Tech State College will provide training to these programs. Allocation of these funds requires approval of the Unemployment Insurance Board.

Training Network (Regional Skill Alliances): these WIA dollars fund training assistance to firms who coordinate their activities for mutual benefit. Competitive applications submitted by Workforce Investment Boards will represent a consortium of businesses with common interests in training and skill credentialing. Workers must receive a portable skill credential as a result of training.

- Incumbent Worker Councils will be established as subgroups of the Workforce Investment Boards to focus on skills needed in today's workplace as well as projected skills for the future. They will also facilitate the development of mechanisms to address training needs. The councils will be 33% labor as well as include members from business, economic development, and workforce development.
- Workforce Investment Boards that engage in regional planning for Indiana's broad goals may receive incentives for establishing and/or attaining regional goals.
- WIBs will determine locally if there is a limitation in their area. In the event the WIB determines that funds are limited regionally, the priority shall be the following:
 - Former or current TANF recipients who are working but who need GED or occupational skill training to increase their wages.
 - Food Stamp recipients who are working and who need GED or occupational skill training to increase their wages.
 - Low income individuals not eligible for TANF or Food Stamps and who need GED or occupational skill training and
 - The working poor who need GED or occupational skill training to increase their wages.

This prioritization will address Indiana's need to develop the skills of current workers, raise the educational attainment of Indiana workers, and increase personal income, while simultaneously meeting legislative intent to assist disadvantaged individuals. The strategy also avoids duplication by ensuring that resources of the Family and Social Services Administration are prioritized for their intended purpose, while WIA funds are used for low income individuals who either do not qualify or who have already been initially served and placed in work through TANF and food stamps, or through other programs such as those of the Township Trustees, Community Action Agencies, HUD employment and training programs, and other funds that may be available in a region.

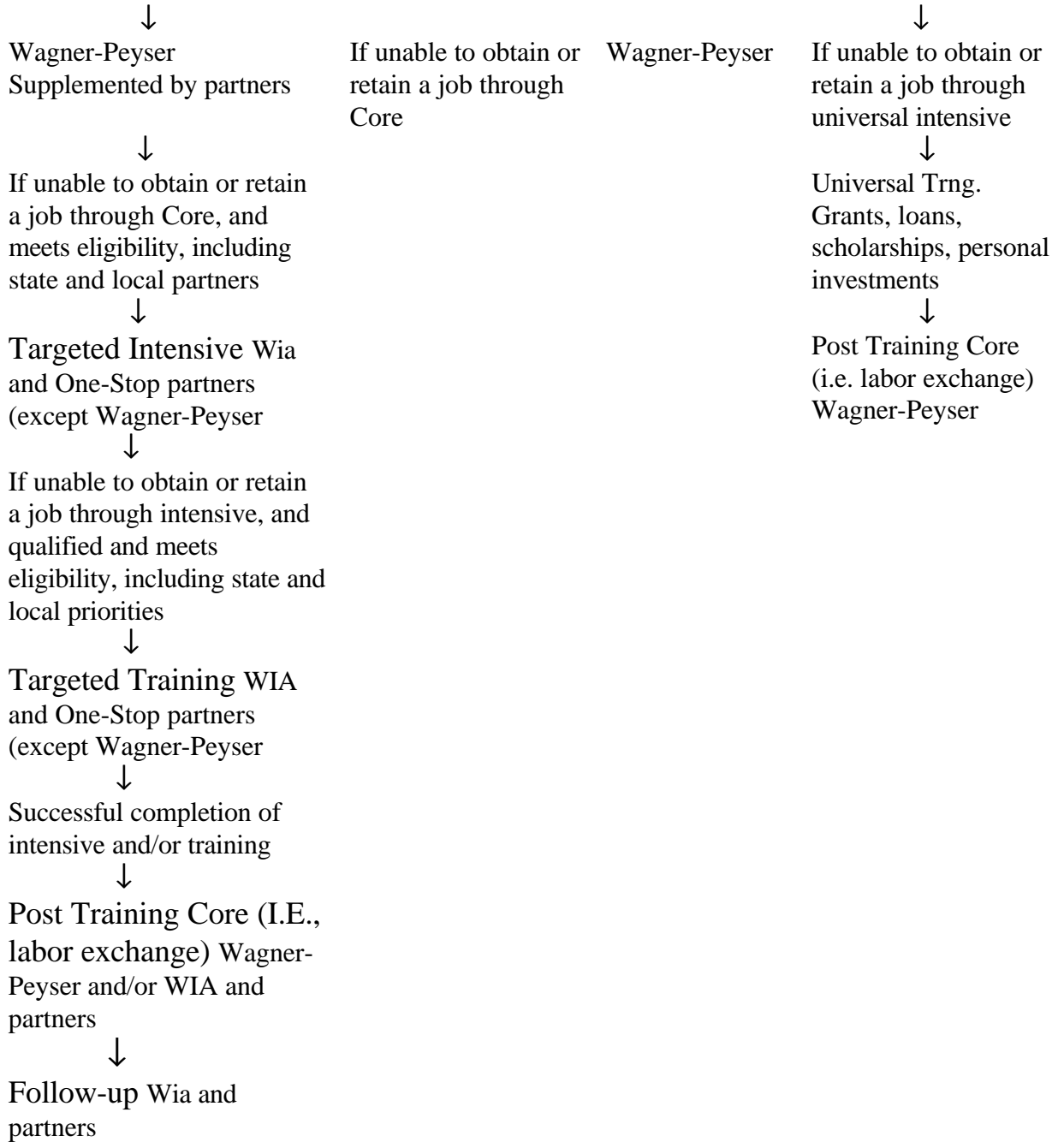
Each WIB will examine the totality of the resources available, some of which may be unique to its area. For example, some areas have Opportunities Industrialization Centers, empowerment zones, federal discretionary dollars such as competitive welfare-to-work funds, and other resources which are not accessible on a statewide basis. The determination as to whether training funds are limited is indeed a local decision.

Local Workforce Investment Boards will act as the catalyst to bring local systems together, leverage additional funds, and secure community commitment to educational attainment, skill enhancement, and lifelong learning. Technical assistance has been

procured to assist WIBs in making the transition from fund management boards to strategic planning boards that convene forums for planning the future and bring together the activities of Step Ahead Councils, Local Planning Councils, Incumbent Worker Councils, Youth Councils, School-to-Work Partnerships, and Workforce Partnerships.

Universal access is already available through Indiana's one-stop centers. Wagner-Peyser and Unemployment Insurance have delivered all services through the one-stop system throughout the past decade and will continue to do so. We anticipate that the majority of core services will continue to be provided with Wagner-Peyser funds to conserve WIA dollars for training. The following graphic shows how universal and targeted services will be available through the various funding sources, including personal investments.

Core Services →→→→→ Universal Intensive →→→→→



A feature of Indiana one-stops is the Information Resource Area (IRA). Any future one-stop must contain an IRA to be certified. The IRA is an open access area combining information about job openings, careers, labor markets, community resources, and education and training providers in a variety of media. Each center devotes a minimum of two staff to assist individuals in their use of the materials. IRA services include resume writing assistance, job search skill training, job/career counseling, labor market information, and internet access. Employer services available include employer seminars and labor market information. Attachment #2 shows the minimum content criteria for IRAs.

Schools have been using IRAs as connecting activities for School-to-Work, and many take classes on field trips to the IRA. Grants were issued in the last two years to establish modified IRAs within schools themselves to extend access to the materials. Special materials have been placed in the IRAs to facilitate their use by individuals with disabilities. The IRA, in addition to all the other services of the one-stop, ensures that no individual, regardless of age or economic status, goes without some level of service at Indiana's one-stop centers.

Plans for **streamlining** over the next five years include:

- Employer self-entry of job orders. The "employer view" of the Customer Self-Service System (CS3) is being implemented in 1999 as an enhancement to the job matching system. Self entry of information by both employers and job seekers not only eases use of the system for customers, but frees staff time to provide more developmental services such as assessment and counseling and employer seminars.
- Use of the internet for employers to submit wage records.
- Use of electronic deposit for employer taxes.
- Development of common performance measures for Wagner-Peyser and WIA core services.
- Development of common data collection and reporting mechanisms for programs in the one-stop. CS3 may be used as the primary mechanism for measuring entry into employment.
- Joint case management for customers. Two offices of the state recently piloted two different joint approaches for Wagner-Peyser, Vocational Rehabilitation, JTPA, and TANF to "triage" and address the needs of individuals who came into their collocated settings.

Programs and funding streams that support service delivery in the one-stop already include:

- Wagner-Peyser
- LVER/DVOP
- TAA/NAFTA-TAA
- Unemployment Insurance
- Welfare-to-Work
- JTPA (soon to be WIA)

We do not anticipate mandating additional funding streams beyond those required partners under WIA, but rather supporting local efforts to incorporate the resources that are appropriate locally. The variety of resources currently in the one-stop system varies from region to region and office to office within those regions. Resources and programs include Title V, vocational rehabilitation, adult basic education, migrant and seasonal farm workers, TANF, Food Stamps, and others.

The system in five years will be:

- Focused on regional economies. More state systems will be organized around the 12 planning regions. We will have the capacity to measure progress against critical benchmarks on a regional basis. Every region will have goals for broader workforce investment outcome.
- Locally flexible. Large consolidated centers may give way to small offices that are more diffused through the community and closer to the customer. Workforce Investment Boards will have more authority to make these kinds of decisions locally.
- Demand-side driven. The skill needs of Indiana businesses will establish the priority for training and drive curriculum development. Individuals will be able to access services to certify their skills through the one-stops. Some certifications may be provided on-site. Employers will be able to specify the type of certification they require through CS3. Indiana's Certificates of Technical Achievement will be awarded to a significant number of individuals in demand occupations to make this a useful tool.
- Customer-driven. A consumer report card system is being developed. State policies for eligible training providers and Individual Training Accounts may be found in Attachment #3.
- Easier to access without visiting a physical site. Job matching services will be available through the internet.
- Financed less through federal dollars. Federal funds have many restrictions that limit their effective use in meeting Indiana's goals. The one-stop system is almost entirely funded by federal dollars at this point, and the majority of those funds are

limited to targeted populations. The system will persist in being a "second chance" system unless this situation is changed.

The Act promotes the concept of "universal access", yet attempts to build the system out of mostly restricted access dollars. We intend to expand the concept of the "system" (which goes beyond the one-stop centers), and leverage local tax dollars, private sector dollars, and personal investments. This will be accomplished through tax credits; fee-for-service; political leverage; challenge grants; outcome-based funding; and marketing to businesses and individuals about the value investments in lifelong learning.

Indiana's youth programs will be enhanced and expanded so young people have the resources they need to succeed in the state's economy. In Indiana there are hundreds of different programs for youth operated by state agencies, community based organizations, and for-profit organizations. For the most part, the programs for youth are fragmented -- serving overlapping populations but conducted in isolation of each other.

In response to this dilemma, the 1999 General Assembly, at the request of the Governor, convened a two-year "Youth Development Study Committee" under the guidance of the Indiana Human Resource Investment Council (SHRIC.) Members of the Youth Study Committee include representatives from the SHRIC, non-for-profit organizations, the Indiana General Assembly, youth, parents, and state agencies. **Goals for integrating youth programs** include but are not limited to:

1. Consider problems affecting youth and recommend solutions or approaches to the problems to state and local government officials.
2. Promote youth development activities that ensure that youth thrive and become competent, useful, and empowered and develop a sense of belonging.
3. Develop guidelines for the establishment of positive youth development programs based on a consideration of the following:
 - (A) Individual and community capacity for change.
 - (B) Community structures and resources that enhance supports of, and opportunities for youth development.
 - (C) Barriers to access to supports and opportunities for youth.
 - (D) Outcomes of current youth development programs regarding youth as
 - (i) individuals; and
 - (ii) members of their communities.
4. Conduct and assess a needs assessment of current youth development programs, including governmental programs, which promote positive youth development.

5. Review and **make** recommendations first to the state human resource investment council and then to the Governor and Legislative Council regarding any unmet need for youth development programs.
6. Submit reports first to the state human resources investment council and then to the governor and the legislative council:
 - ◆ ~~interim report—before November 1, 1999;~~
 - ◆ interim report – before November 1, 2000; and
 - ◆ final report – before November 1, 2001.

Members of the Youth Study Committee were appointed by November 1, 1999. Through November 1, 2000, the Youth Study Committee will spend its time identifying all the different youth programs operating in the state, the purpose of the program, the populations served, funding sources, outcomes, etc. The last year of the study will be researching strategies to make these resources work better in communities. As indicated above, a final report including recommendations for youth programs operating in the State will be issued to the SHRIC, the governor, and general assembly prior to November 1, 2001. The report will provide recommendations for how youth programs can be operated in a more efficient and effective manner and ultimately be of more benefit to youth.

As part of its legislative authority, each local workforce investment board (WIB) has negotiated and reach agreement on Program Year 1999 local youth performance measures with the chief elected official and DWD. DWD indicated that while performance for PY'99 will be measured and announced, there will be no incentive awards or sanctions will not meeting standards. In this way, WIBs can focus the first year on innovative program design for youth programs. In subsequent program years, incentives for meeting and sanctions for not meeting standards will be enforced.

Beginning July 1, 2000 the Indiana Commission on Community Services and Volunteerism (ICCSV) will coordinate with DWD. ICCSV oversees community service and volunteer programs in the State. The coordination efforts will reap many benefits for youth including but not limited to ICCSV field staff assisting youth program providers implement “youth leadership development” activities under WIA.

In Indiana, youth will be connected with the One-Stop delivery system. Programs for youth will be coordinated among the One-Stop partners. Such local coordination efforts include but are not limited to:

- **joint intake procedures, including application taking, orientation, assessment and enrollment;**
- **joint individual service strategy development;**
- **joint counseling and/or case management;**

- cross training on each others' programs; and
- all funding sources reporting appropriate outcomes according to federal and/or state requirements regardless of which funding source paid for which service.

Additionally, youth will be introduced in the services available through the One-Stop Center. Information on how to access WIA Title I Youth services will be made available. Also, tours of the Information Resource Area will be provided so youth know the types of information available in the IRAs: career information, resume writing, labor market information, etc. Information on how to access the CS3 system as well as all other One-Stop partner services will be provided. WIA-funded staff and Wagner-Peyser funded staff work side by side in the One Stop center to link youth with employers and the job market. Also, WIA-funded staff work in close coordination with School-to-Work staff so school-to-work-type activities may be made available to WIA Title I youth.

For those youth who are enrolled into the WIA Title I Youth program, WIA services will be provided by the One-Stop partners in a coordinated fashion as described earlier. WIA services provided include but are not limited to:

- receiving an objective assessment;
- developing an individual service strategy; and
- providing preparation for post secondary educational opportunities, providing linkages between academic and occupational learning, providing preparation for employment, and providing effective connections to intermediary organizations that provide strong links to the job market and employers.

For those youth not enrolled, those partners who are authorized to provide services to such youth will fund the services provided through the One-Stop center. As an example, labor exchange services may be provided to any youth by staff funded through Wagner-Peyser.

C. Performance Indicators and Goals

Identify the performance indicators and goals the state has established to track its progress toward meeting its vision for the workforce investment system. At a minimum, States must identify the performance indicators required under section 136, and for each, the State performance goal (the State adjusted level of performance) for each of the first three programs years, expressed in objective, quantifiable terms. States may want to use a chart such as the one in Attachment

B. The specific measures to be included in the State Plans and their definitions will be published in January).

Indiana intends to utilize a comprehensive approach to service delivery under the One-Stop philosophy. Rather than restricting our service providers to outcome measurements that are tied to specific funding sources, we propose a broad-based strategy that reflects the overarching goals of our workforce development system.

There are three fundamental goals in Indiana's workforce development system. They are: satisfied customers, increased earnings and increased skills.

Our goals for PY '99 are articulated by the following performance objectives:

- 1) Customer satisfaction of clients and employers (as measured by a survey, and expressed as a percentage of those who rated us above average or excellent. Over half will rate us above average or excellent.)
- 2) Number of individuals we assist who experience earnings gains (expressed as a hard number and measured by UI wage records. 140,000 assisted by the one-stop system will have earnings gains. Each region will be assigned a part of that based on its relative share of the population. This will be tracked through Indiana's Customer Self-Service System (CS3), because all the partners will be utilizing CS3.
- 3) Number of individuals we assist who acquire skills credentials (again, a hard number, and measured by recorded attainments of GEDs, Certificates of Technical Achievement, Degrees, diplomas, other recognized credentials. All partners could report into the regional total by whatever tracking mechanism they use. At least 2,000 citizens will have documented skill increases.

We firmly believe that such measures could give credibility to the public system by the very nature of their ease of understanding. This is recognizable progress in workforce improvement

For PY '99, Indiana proposes the following levels of performance under Title I of WIA. These are based upon the definitions that have been provided by DOL and past historical performances under previous employment training programs:

| Measure | Adult | Dislocated | Youth 19-21 | Youth 14-18 |
|---|----------------|-------------------|--------------------|--------------------|
| Entered Employment | 75% | 74% | 69% | |
| Retention Rate | 80% | 85% | 76% | |
| Earnings Gain | \$3,400 | | \$2,709 | |
| Replacement Wage Rate | | 86% | | |
| Client Satisfaction Index | 65 | 65 | 65 | |
| Employer Satisfaction | 60 | 60 | 60 | |
| Adult and Dislocated Worker, and Youth Credential Rate | 30% | 30% | 30% | |
| Youth Placement and Retention Rate | | | | 55% |
| Youth Diploma Attainment Rate | | | | 65% |
| Youth Skill Attainment Rate | | | | 75% |

III. Assessment

A. Market Analysis

Describe the key trends that are expected to shape the economic environment of the State during the next five years. Which industries are expected to grow? Which will contract? What are the economic development needs of the State? What data sources support the State's market analysis?

The Indiana Economy. The following is drawn from Indiana's strategic economic development plan *Break Away Growth* 1999-2002, recently released by the Indiana Economic Development Council, Inc.

Indiana faces an imminent economic transformation far more challenging and fundamental than its economic turnaround during the 1980s.

Familiar Industries and the Business Climate Have Created a Strong Foundation.

Mainstay industries - manufacturing, agriculture, insurance, trade and distribution, and higher duration -and a strong business climate remain critical to continued economic sustainability. In the 1980s, Indiana companies had to improve productivity in order to survive, and they did, resulting in a remarkable turnaround in basic industries. Today, manufacturing remains the dominant sector of the economy, comprising nearly 32 percent of total output. While manufacturing's share of the national economy declined by 14 percent between 1982 and 1996, it held steady in Indiana, at a level almost twice the U.S. average.

The lean production processes and re-engineering of the 1980s have led to a manufacturing renaissance, and high demand for skilled workers. This resurgence has reduced Indiana's unemployment rate to unimaginable lows: 3.1 percent as of January 1999.

Investments are moving from states with high business costs to those with lower costs. Indiana is a beneficiary. Our 1997 rank by Regional Financial Associates, Inc. for "Cost of Doing Business" was 17th lowest in the nation, and well below competitor Midwest states.

Global trade has diversified markets for our goods and services. Demand is currently high for agriculture, manufacturing, insurance, health products and advanced services. As a result, Indiana exports have averaged 19.6 percent annual growth since 1988, compared to the national average of 13.4 percent. During the first nine months of 1998, Indiana exports actually increased by 2.9 percent while the U.S. rate declined by 1.1 percent.

To sustain this track record, Indiana's firms must continue to add value through productivity improvements and innovation. Manufacturers and agricultural concerns are facing stiff competition. Current global financial crises may reduce short-term demand

for goods. At the same time, producers worldwide are scrambling to gain market share

and are investing heavily in training. The reality is that much of the production traditionally done in the United States also can be done cost effectively at facilities elsewhere. Indiana can create a niche by constantly moving “upstream” to more advanced products.

Indiana is also growing in frontier industries, especially drugs, medical devices, software and information technology. However, Indiana's growth through frontier industries falls short of competitor states.

Nevertheless, Many Families are Trying to Make Ends Meet

Despite our strong economy, many Hoosiers work hard to make ends meet. To improve its standard of living, Indiana can - and must - do better.

To improve Hoosiers' standard of living above the U.S. per capita income, we must focus on creating more high skill, high pay jobs.

Fifty-four percent of Indiana's jobs are in occupations with a median wage below \$10 per hour, or \$20,000 per year. According to IEDC projections, this statistic is unlikely to change by 2005. (A recent IEDC analysis shows that a family's basic needs budget is \$17,000 to \$32,000, depending on family size and composition.)

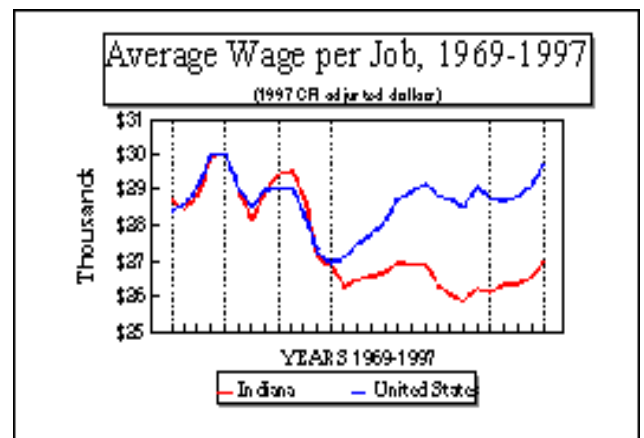
Indiana needs to outpace national growth to return to parity on wages. As shown in chart above, this imperative is a significant challenge given that inflation-adjusted wage and salary growth since 1981 has increased 0.8 percent in Indiana, while increasing 10.5 percent nationally.

Hoosier Skills Must Meet the Highest Possible Standards

Businesses compete in a global economy that requires rapid response and competitive costs.

To thrive, they can either utilize a low skill, low cost workforce and “dumb down”

| Title | Annual Openings |
|--|-----------------|
| Truck drivers: heavy, light, industrial | 4,000+ |
| Health services: RN, LPN, dental hygienist | 2,400+ |
| Teachers: secondary, elementary, kindergarten, special | 2,400+ |
| Trades/crafts: carpenter, electrician, plumber, mason | 1,400+ |
| Mechanics, all types: auto, diesel, industrial, HACB | 1,900+ |
| Machinists: tool and die, welders | 1,000+ |
| Engineers: mechanical, electrical, industrial, civil | 700+ |
| Accountants and auditors | 500+ |



operations or increase value-added through highly skilled workers. The second course, while more demanding, will keep manufacturing jobs in the state and support the state's new initiatives to foster more growth companies and frontier industries.

To be strong in manufacturing and attract technology jobs, we must increase the skills and educational attainment of incoming and incumbent workers. Currently, only 16.8 percent of Indiana's jobs require a bachelor's degree or higher, compared with 20.7 percent of all U.S. jobs. It is not surprising then, that only 17.7 percent of Hoosier adults have at least a four-year degree. Furthermore, only 8.7 percent of Indiana jobs require an associate degree or technical certificate. Many good paying jobs in Indiana require skills earned through sources other than formal college degrees (e.g., apprenticeship programs, vocational certificates and short course college "packages"). In the future, an increasing number of jobs will require education beyond high school - both college and non-college training.

Indiana needs high response, on-the-job training systems to advance skill levels at a rapid rate. As job tasks become more technically complex and require more problem solving and people skills, Indiana workers may lack the appropriate matching skills. A recent study by the Indiana Economic Development Council estimates that for every 100 high skill job openings, only 65 job applicants had the mix of skills required. While many of these jobs (76 percent) do not require formal education beyond high school, they do require continual training (much of which will occur in the workplace).

Occupational employment projections from 1994 to 2005 indicate that job openings will average more than 100,000 per year. Some will be in new and expanding industries. Most, however, will be openings to replace those that have left in the labor force. This will mean promotional opportunities for those skilled and/or willing to learn new skills. The following occupations have traditional titles. However, the education and training necessary to carry those titles have changed significantly over the past decade.

The table below summarizes recent occupational growth patterns by three broad pay categories.

| Percentage Employment Growth by Occupational Group, 1960 to 1996 | | | | | | | |
|---|------------------------|------|------|-----------------------------|------|------|--|
| | Growth -1990-96 | | | Base-of Wrkfrce 1996 | | | Indiana C oncentr ation (U.S.=1. 00) .78 |
| | IN | MW | US | IN | MW | US | |
| Total | 9.2 | 6.3 | 6.4 | 100 | 100 | 100 | |
| Group | 21.2 | 17.7 | 17.2 | 21.9 | 26. | 28.2 | |
| Exec, Admin, Managerial Professional Specialty | 32.1 | 22.2 | 17.0 | 11.2 | 12.8 | 13.7 | .82 |
| Middle Earnings Group | 11.4 | 13.7 | 17.5 | 10.6 | 13.7 | 14.5 | .73 |
| Administrative Support Ops, Fabricators, Laborers | 9.7 | 2.4 | -0.2 | 51.3 | 45.9 | 43.2 | 1.19% |
| Precision Production Technicians | 3.5 | -1.2 | -0.4 | 13.8 | 14.6 | 14.8 | .93 |
| Lower Earnings Group | 14.6 | 2.9 | -0.2 | 21.8 | 16.9 | 14.5 | 1.50 |
| Farm, Forest, Fishing Sales Service | 9.3 | 3.8 | -1.7 | 12.9 | 11.3 | 10.8 | 1.19 |
| | 6.7 | 12.6 | 5.9 | 2.7 | 3.1 | 3.1 | .87 |
| | 0.5 | 3.4 | 7.5 | 27.0 | 27.7 | 28.6 | .94 |
| | -8.1 | -5.8 | 4.8 | 2.6 | 2.6 | 2.9 | .90 |
| | 6.3 | 4.9 | 7.5 | 11.8 | 11.7 | 12.1 | .98 |
| | -2.6 | 4.0 | 8.2 | 13.3 | 13.6 | | .93 |

Columns may not total due to rounding; figures based on three-year averages (1988-1990, 1994-1996)

Source: Bureau of Labor Statistics, Current Population Survey; State totals from Local Area

Unemployment Statistics, as published in *Geographic Profile of Employment and Unemployment*, various issues. Earnings classifications based on Randy E. Ilg, "The Nature of employment growth, 1989-95," *Monthly Labor Review*, June 1996, pp.29-36.

Relative to the U.S., Indiana employment is concentrated in the middle-earnings occupations, predominantly "blue collar" categories of operators and precision production. Employment in this middle group increased substantially (9.7%) in Indiana, while growing only slightly (2.4%) throughout the Midwest, and decreasing (-0.2%)

nationally. By contrast, growth in lower-earnings occupations was minimal (0.5%) in Indiana compared to the Midwest (3.4%) and nationally (7.5%). The challenge for Indiana is to maintain this base of middle-wage jobs, while at the same time focusing on growing high-wage jobs.

Indiana's growth in the higher-earnings group has been above both the U.S. and the Midwest averages this decade. However, Indiana continues to have a significantly smaller base of higher-earning workers than other states. Indiana's challenge is to increase concentration of employment in this higher-earnings group through sustained high-wage job growth.

A.2. *Identify the implications of these trends in terms of overall availability of employment opportunities by occupation, and the job skills necessary in key occupations.*

Indiana has made significant strides to identify the job skills necessary in key occupations. The Indiana Essential Skills and Technical Proficiencies Initiative focuses on high skill, high demand career pathways and develops the technical proficiencies, as well as the employability and academic skills, necessary to be successful in the workplace. Of the occupations that will average the most annual job openings, job skills (or proficiencies) have been identified for the following occupations:

Mechanics
Trades/crafts
Machinists
Health services

The following is a brief outline of skills needed by employers for health occupations and machinists. More extensive lists of the necessary proficiencies for these occupational areas and proficiency lists for other areas are available upon request:

Skills needed for health occupations:

- Allocates time, money, material and facility resources, and human resources. Examples:
 - organizes time daily for proper care of patients;
 - sets daily priorities; follows medication schedules; completes routines and checks equipment;
 - orders supplies;
 - keeps records of costs;
 - orders and stores drugs according to OSHA guidelines;
 - makes requests of other professionals as needed and according to specialties;
 - assesses workload and divides it among people scheduled to work.
- Acquires, evaluates, organizes, maintains, interprets information and

computers to process information.

Examples:

- interviews patients; obtains information needed for insurance forms and medical records;
- reviews medical charts to determine proper medications;
- organizes patient records in a systematic order;
- prepares charts and records progress;
- documents information obtained during assessments and observations)
- selects and analyzes information and communicates results to doctors and patients;
- discusses patients progress;
- communicates health care information to patients
- enters charges and organizes them on a computer;
- uses computers to acquire, organize, and maintain patient data.
- Uses interpersonal skills to participate as a team member, teach others, serve customers, negotiate to reach a decision, and work with cultural diversity.

Examples:

- works with staff of various disciplines to coordinate treatment;
- conducts hands-on activities for patients to learn about caring for themselves;
- assists in training new staff members in patient care;
- instructs patients families in basic care;
- assumes a role as team leader during emergencies;
- monitors direct care staff;
- helps patients make goals and decisions about treatment;
- negotiates with uncooperative patients
- works with people of different genders and ethnicities and cultural styles.
- Understands systems, monitors and corrects performance, improves and designs systems.

Examples:

- understands protocols of medicine;
- performs daily activities within the structure of an organization;
- follows consistent procedures for patient care;
- monitors and changes patients' schedules to better fit their needs;
- designs new methods of treatment;
- works through appropriate channels to make suggestions for improvements.
- Selects and applies technology and maintains and troubleshoots technology.

Examples:

- selects appropriate equipment for patient care;
- operates medical machines;

- tries new technology and compares features and values before making decision;
- reads technical manuals to operate equipment;
- changes paper on machines as necessary;
- recognizes malfunctions, performs light maintenance, and knows when and where to access additional help.

Skills needed for Machinists:

- Allocates time, money, material and facility resources, and human resources.

Examples:

- estimates work orders for total completion time;
- minimizes downtime by preparing tooling and fixtures for quick changeovers;
- decides order in which operations should be done;
- recommends different materials to engineering staff;
- is aware of costs of materials and tools used;
- schedules work so the correct machine will be available when needed;
- works multiple machines when there are long cycles;
- tracks performance using daily time sheets;
- draws upon strengths of workforce to complete work;
- works in cells and is cross trained to do other work.

- Acquires, evaluates, organizes, maintains, interprets information and uses computers to process information.

Examples:

- uses drawings and process sheets for inspection and manufacturing;
- reads blueprints;
- organizes information on tapes, tools, read-out sheets, routers, etc.
- documents quality produced and time spent on daily time sheets;
- cross trains other workers;
- examines print and performs additional calculations as needed;
- uses computers in various ways such as CAD to solve dimensioning problems;
- uses computers for job step reporting;

- Uses interpersonal skills to participate as a team member, teach others, serve customers, negotiate to reach a decision, and work with cultural diversity.

Examples:

- participates in team meetings;
- operates as an interchangeable group with movement toward work cells;
- uses the ideas of several people to achieve the best results;
- helps other people learn jobs;
- participates as teaching member of a team;
- works to meet customer needs;

- knows internal customers;
- is self-managing;
- is positive about decisions, willing to admit mistakes;
- tries to help others do work more efficiently;
- negotiates which way is best when a dispute arises;
- uses appropriate language and actions when working with others.
- Understands systems, monitors and corrects performance, improves and designs systems.
Examples:
 - circumvents usual operating system in an emergency;
 - works with “just in time” manufacturing and with a CAD/CAM system;
 - understands the logic of the job being processed;
 - is responsible to maintain tolerance and finish to print specifications;
 - uses management instruction sheets to control quality;
 - suggests how to improve different processes.
- Understands systems, monitors and corrects performance, improves and designs systems.
Examples:
 - decides which machines and tools should be used to get the job finished right;
 - experiments and selects tools which will produce the desired results;
 - debugs CNC programs;
 - provides follow-up to jobs;
 - changes feeds and speeds to correct problems;
 - performs minor maintenance;
 - finds better ways to do something to make it the best.
- Selects and applies technology and maintains and troubleshoots technology.
Examples:
 - determines where and how to do machining;
 - decides what machines and tools should be used to get the job finished right;
 - sets up and operates all machines in the tool room;
 - debugs CNC programs;
 - changes feeds and speeds to correct problems and does research and development to fine tune tools and technologies;
 - makes sure machines are in proper working order with everything in its proper sequence.

These job skills will drive training and development programs and are being implemented in secondary and post secondary classrooms. In addition, the initiative is designed to continuously review the Indiana labor market to determine additional areas of focus. The areas not currently covered will be reviewed during the upcoming year.

To document the job skills and knowledge an individual demonstrates, Certificates of Technical Achievement are available to customers. The Certificates are updatable throughout an individual's career to document their growth. The Certificates are used for hiring, promotion, and admissions to post secondary education. Please see Attachment #4 for a more complete description of how skills for the Certificates are identified.

A Systems Approach to Workforce Certification in Indiana

Indiana has a life and career-long process by which students, job seekers, and workers alike can document and communicate their knowledge and skills as they pursue their career pathways. Beginning in 1992 with the formation of the Workforce Proficiency Panel, a process of occupational analysis was developed to document what workers need to know and be able to do to be successful in the workplace. This process yielded Proficiency Guides, which have been successfully used as references for secondary and post-high school teachers to develop real-time, real-work scenarios in conjunction with business and industry as a framework for organizing curriculum and instruction. Certificates signed by Governor Frank O'Bannon and previous Governor Evan Bayh have been issued to students who use them when seeking employment or when matriculating into post high school education

As people meander through their career pathways and go in and out of the educational and work environments, they have the opportunity to attain higher levels of skill, responsibility and remuneration. The final stage of this process is to issue certificates to workers. This completes a process of life-long education and Certification. To do this, a more specific occupational analysis to create employer-based scenarios upon which to assess the employer's workforce and issue certificates is required. Using the skill standards of national initiatives such as the Building Linkages Among Academic and Technical Skills and the Voluntary Partnerships for economic clusters provides an opportunity to build a quality workforce across industries and sectors.

A protocol has been developed and implemented in a total quality and continuous improvement environment for the development and assessment of secondary and post high school students. Currently, a formal protocol for working with employers is being developed and piloted with the assistance of the Indiana Business and Modernization Technology Corp. Indiana has funded prior initiatives to train Workforce Development Center staff to conduct occupational analysis, assess the workforce, and provide counseling for employment security. The training materials for these initiatives provide an initial protocol and can be updated as they are used in this process.

Conduct Organizational Analysis to identify Business Requirements

Experience has shown that the study of a job to determine the required technical, academic, and workplace skills comprises much more than observing a person in a position. For the Certificate of Technical Achievement to have value to the employer and employee, it should help stabilize the production environment and build skill standards into career pathways leading to higher levels of skill, responsibility, and remuneration.

Ultimately, there must be an impact on the employer's Business Requirement such as increased productivity, reduced scrap and rework, reduced absenteeism, etc.

To be effective, the analyst must have an understanding of how the business operates, how it communicates, and the amount of control and responsibility assigned to the position. Given this vision, the analyst can observe not only the actions of the job but the interactions of the job leading to increased employee involvement in decision-making and improved teamwork.

Conduct Occupational Analysis to identify Knowledge and Skill

Occupational analysis must be conducted in the workplace. Most employees begin at an entry level into a particular employer and as they proceed through a training process, increase their knowledge and skill leading to greater levels of employment and remuneration. For most employers, this is not a well-structured process and lacks consistency because there is no protocol to guide persons through the training process and document what they know and are able to do.

The Indiana process promotes a consistent occupational analysis and assessment process through the use of real-time, real-work scenarios. When working with employers to develop Certificates, a review of training and other materials for employee development takes place. Forms to be filled out and documents to be read are collected and analyzed. Observation identifies technical skills and verifies the use of forms and documents and also reveals situations requiring the communication of employees at every level.

Then this information is organized into a consistent format and reviewed by persons familiar with the work such as management, workers, etc. Final approval requires a sign-off by the employer that the scenarios are accurate and reflect work the way it should be performed in their workplace.

Assess Workforce to Issue Certifications

The scenarios represent the work employers expect to be performed and the consistent process by which to perform it. Workers who can demonstrate that they can perform the scenario each time they are called upon to do it following the consistent process are eligible to be issued Certificates. The person doing the assessment must be certified as being able to follow the assessment protocol to ensure that each Certificate award has equal value. The person doing the assessment could be employer-based.

Certificates are issued when the employee has attained the required level of proficiency. The Certificates are then registered with the Indiana Department of Workforce Development for recognition by Governor Frank O'Bannon through official documentation.

Some individuals may lack some of the essential or basic knowledge, technical, and workplace skills required of employment in general. Others may just lack the knowledge, technical and workplace skills required by the employer as defined in the scenario

contextual to the workplace.

Current measurements and assessments can be used to identify areas for employee remediation. Some of these include the TABE or other measures of adult basic education, AccuVision, Work Keys, etc. To have maximum value to the employer and employee, the measurement and evaluation process must be contextual to the workplace and must complement the knowledge and skills required of the job and documented in the scenario.

The type of knowledge, technical and workplace skill discrepancy will determine the appropriate type of training intervention. In some cases, individuals may need adult basic education or English as a second language (ESL) classes. In other cases, the skill discrepancy can be eliminated through classroom training or on-the-job training.

The skills needed in the demand occupations are contained in detailed proficiency lists, which DOL may request. The lists have been widely distributed in Indiana. One-Stop operators and schools will use these proficiency lists to guide skill development in all customers. This certification system is already in place and over 1,000 Certificates of Technical Achievement (CTAs) have been awarded.

The Department of Labor requested that Indiana analyze the skill deficiencies of target populations for specific jobs within each of the four broad occupational areas for which training will be focused (mechanics, trades/crafts, machinists, and health services). We have not found that individuals have skill deficiencies needed for specific jobs on the basis of their target group membership. Their skill deficiencies are more likely related to their work experience than their demographic status. A dislocated worker who was employed in manufacturing is more likely to have skills needed to be a machinist than an individual with disabilities. However, an individual dislocated from manufacturing may not possess any more skills than a welfare mother when it comes to health occupations. Migrant and seasonal farmworkers may have difficulty with teamwork and oral and written communications needed for any job simply because of language barriers. Displaced homemakers may possess many skills as a result of non-paid work experience in their communities, but it will vary from individual to individual. Assessments of thousands of applicants for a major manufacturer found that even a significant percentage of members of the incumbent workforce needed brush-ups on basic math skills and were generally deficient in problem-solving abilities. Individual training plans will be based upon the assessed skills of the individual, not upon economic status, employment status, marital status, or ethnicity.

We are also beginning to implement Work Keys, first in Evansville, where staff have already been trained, and then adding additional offices on one at a time. Work Keys has a job profiling component that allows staff to determine the unique skills needed for a specific job at a specific worksite, or to use nationally developed profiles of hundreds of occupations. With both Work Keys and certificates of Technical Achievement there are assessments linked directly to the job profiles to determine how closely an individual meets the skill requirements of the job.

The above describes a strategy applicable for actually identifying the skills needed. On a more generic basis, it can be said that jobs in the mechanics, trades, machinists, and health services all require basic reading and math skills and some form of skill credential. All require interpersonal skills, including jobs in factories because of the increased use of teams in the workplace. Many will require post secondary training of some kind, apprenticeships, or employer-based training. It is because of the need for skills credentials that the Certificates of Technical Achievement were developed, and why Indiana has placed such an emphasis on documentable skill attainments for our customers.

It has been a common complaint that many of the high growth jobs are in low skill, low wage service jobs (retail, cashiers, food services, and so forth). For many of our customers, these may be initial job placements because such jobs do not require any skill credentials or special training. However, we are not focusing on low skill jobs even if they are in high demand, except as an interim step to gain work experience, a stable work history, or to gain work maturity skills such as interpersonal skills, punctuality, and so forth. For purposes of the key occupations in which there is projected to be both growth and the potential for good wages and advancement potential within the occupation, a skill credential is important. Ensuring that all our customers have the minimum credential of a GED or high school diploma is critical in giving them access to future learning and opportunities. Providing them with an additional credential, such as a Certificate of Technical Achievement, associate degree, journeyman status, or other recognized credential is the next necessary step. Our priorities for service include customers who lack GEDs or specific occupational skills because those credentials are so important to attaining and maintaining self-sufficiency.

Individuals with disabilities, displaced homemakers, migrant and seasonal farm workers, older workers, public assistance recipients, and youth in many cases lack skill credentials that will enable them to progress economically. Indiana's skill needs for occupations that provide growth, advancement opportunities, and good wages are GEDs, diplomas, certificates, degrees, and so forth, and we will prioritize individuals who do not possess such credentials for services.

A.3. *Who are the customers of the State's workforce development investment system? State may wish to identify major customer segments. (For example, the adult population might be segmented into dislocated workers, disadvantaged adults, older workers, persons with disabilities, women, and minorities. The employer customer might be segmented into growth employers, large and small businesses, employers that currently use the workforce investment system and employers that do not. The youth population might be segmented into in-school and out-of-school youth).*

The primary customers of Indiana's workforce investment system are employers, current workers, job seekers, **in school and out of school youth**. Through the expansion of the one-stop system under the Workforce Investment Act, we will increase the value of our system to a wider customer base. Specifically, the presence of partners to serve specific

groups, such as individuals with disabilities, older workers, residents of public housing, and so forth. The partners will bring population-specific resources into the system and expand our customer base. The increased flexibility of WIA funds at both the state and local level will make our training services more attractive to business and incumbent workers.

A.4. *Given the projected job skills needed in the State, identify for each of your customer segments their projected skill development needs.*

The projected skill development needs of each of our primary customers include:

● **Employers**

- skill training for their incumbent workers to keep pace with technological changes and competition from other states and abroad. Skill training will be particularly important for employers in the major growth areas of trades/crafts, mechanics, machinists, and health services;
- quality information on training providers;
- accurate and timely labor market information;
- retention services for new entrants to the labor force who may need such assistance to remain employed following placement under a work-first philosophy;
- accurate information about the skill levels needed for successful workers in their place of employment, and accurate information about the skills of current and new workers compared to those required by the job.

With regards to the last item above, employers will be assisted by two initiatives. A Work Keys pilot is being tested at the one-stop in Evansville, the Indiana Essential Skills and Technical Proficiencies Initiative and the Certificates of Technical Achievement document system are being targeted to incumbent workers in a high demand occupation in the northern part of the state.

● **~~Current Workers~~**

- ~~— assessment to determine how their skills relate to the levels required for success in their current job, or for a job to which they aspire;~~
- ~~— quality information about training providers, educational institutions, and sources of financial assistance;~~
- ~~— accurate labor market information on wages and employment trends to make informed decisions about lifelong learning and earning potential;~~

- ● **Current Workers**

- assessment to determine how their skills relate to the levels required for success in their current job, or for a job to which they aspire;
- quality information about training providers, educational institutions, and sources of financial assistance;
- accurate labor market information on wages and employment trends to make informed decisions about lifelong learning and earning potential;

accurate information about the kinds of skills employers will need today and in the future;

- a user-friendly job matching system that is available for use outside of their normal working hours.

● Job Seekers

- assessment to determine their interests and aptitudes and how those relate to careers and jobs in the Indiana economy, particularly to jobs that are high skill, high wage, and in high demand;
- eligibility information and services provided by the public sector that will help them attain the skills they need and assistance in accessing such services;
- information on the availability of supportive services, including transportation, child care, and emergency food and housing;
- quality information about training providers, educational institutions, and sources of financial assistance;
- accurate labor market information on wages and employment trends to make informed decisions about lifelong learning and earning potential;
- a user-friendly job matching system that is available for use at any point of the one-stop system they may enter;
- job search and interviewing skills;
- math and reading "brush-ups" and test taking skills to assist in passing employer screening assessments.

● Potential Workers

Potential workers include students, individuals with disabilities, and individuals on public assistance who will be job seekers in the near future. Their developmental needs may include all those identified above for job seekers, as well as:

- work maturity skills;
- work experience, internships, or other work-based learning;
- assistance with work accommodations, particularly for individuals with disabilities;
- work retention services to help them balance family and job demands

The job skill system in Indiana encompasses an individual's career. Initiatives such as school-to-work provide early exposure to the work place and focus on appropriate job skills. School-to-Work connects what is learned in the classroom with what is needed in the workplace. Vocational and technical education at the secondary and post secondary levels allow students to explore occupationally-specific opportunities and to develop job skills. At all levels, technical, employability, and academic skills are stressed.

As an adult worker, at all stages, the job skill system works to document the knowledge and skills demonstrated by the individual. Regardless of where a person is

in the workforce, the system helps to identify his/her skills and develop a plan for skill development. For employers, the system addresses their current workforce and develops a plan to address business requirements. As described above, the assessment component of the Work Keys and Certificates systems allows us to identify specific skill gaps for each customer.

All customers regardless of “segment” must meet the requirements identified in the job profile or task analysis. Deficiencies will not be addressed by segment membership but by individual assessment and employability plan development. Dislocated workers are more likely to require occupational skill training or on the job training to gain proficiencies. Disadvantaged adults may need more soft skill development as a pre-requisite to occupational training. Both Work Keys and Certificates of Technical Achievement include SCANS skills, such as ability to work in teams and relate to others in their profiling and assessments. The following charts summarize skill deficiencies commonly found in various customer groups.

| | At-risk worker | Dislocated worker | Displaced Home- maker | Disabled | Low income worker | Welfare |
|---|-------------------|----------------------|-----------------------------|----------|----------------------|---------|
| Lack of soft skills (inc. inter- personal & keyboard) | X | | | X | X | X |
| Low basic skills | X | X | | X | X | X |
| limited education attainment | X | X | | X | X | X |
| Limited work history | | | X | X | | X |
| Declining Industry or occupation | X | X | | | | |
| Lack of child care | | | X | | X | X |
| Lack of transport- ation | | | | X | | X |
| Age barrier | X | X | | | | |
| Limited English | | | | | | |
| Drug dependent | | | | X | | X |
| Below self sufficiency | | | X | X | X | X |
| Plant has low productivity | X | X | | | X | |
| Plant has non competitive products | X | X | | | X | |
| Disabled | | | | X | | X |
| Social prejudice | | | | X | | X |
| Crime red | | | | | | |

| | MSFWs | Women | Offenders | Non-traditional | Older Workers |
|--|--------------|--------------|------------------|------------------------|----------------------|
| Lack of soft skills (inc. inter- personal & keyboard) | X | | X | | X |
| Low basic skills | X | | X | | X |
| limited education attainment | X | | X | | X |
| Limited work history | | | X | | |
| Declining Industry or occupation | | | | | |
| Lack of child care | | X | | X | |
| Lack of transportation | | | X | | |
| Age barrier | | | | | X |
| Limited English | X | | | | |
| Drug dependent | | | X | | |
| Below self sufficiency | X | | X | | |
| Plant has low productivity | | | | | |
| Plant has non competitive products | | | | | |
| Disabled | | | | | X |
| Social prejudice | X | | X | X | X |
| Crime record | | | X | | |

B. State Readiness Analysis

B.1. Leadership

B.1.a. State Workforce Investment Board

B.1.a.

i. *Describe the organization and structure of the State Workforce Investment Board*

The State of Indiana will use the Indiana Human Resource Investment Council as the State Workforce Investment Board. The Council was established by State statute in 1993 as a State Human Resource Investment Council (SHRIC) under Title VII of the Job Training Partnership Act.

Indiana is unique in that the SHRIC has been given broad responsibility by the Governor to review all of the State's public investments that assist Hoosiers and their families to succeed in today's rapidly changing world. This includes all investments from early childhood through retirement. Governor O'Bannon established a new direction for the Human Resource Investment Council. In his Agenda for Indiana, he gave the SHRIC responsibility for ensuring that these programs are connected to the people they serve. The Council will respond to local communities' needs by serving as a forum to incorporate the Governor's Human Investment Principles into a framework for action that helps local communities receive the maximum return on public investments.

In the context of WIA, Indiana's Council will not only have responsibility for the State Board functions identified in the Act, but also with incorporating those functions into the overall human investment review that the Governor has requested. To accomplish this task, the Council will be organized into strategic focus committees that have responsibility for a part of the developmental continuum that characterizes Indiana's human investments.

State Workforce Investment Board

State Council Membership

In April of 1999, the Council was given the statutory responsibility to serve as the State Workforce Investment Board by HEA 1652, the State's enabling legislation for the Workforce Investment Act (WIA). By statute, the Council has until July 1,2000, to shift to the membership requirements of WIA.

The current members of the Indiana Human Resource Investment Council include the following.

Business and Industry Members

B.J. Bischoff
White River Training Co.
Indianapolis

Greg Fitzloff
Southern Indian Chamber of Commerce
New Albany

Jean Blackwell
Cummins Engine
Columbus

John Niederman
Pathfinders Service, Inc.
Huntington

Hardie Blake, Jr.
Bethel Business Machines
South Bend

Graham Richard
Ruffolo Richard LLC
Fort Wayne

Labor, Special Populations and Community Organization members

Casper John Alessi
Indiana AFL-CIO
Indianapolis

Gail Pluta
Indiana Fed. Of Teachers, Labor 59
Indianapolis

John P. Cooley
Carpenter's Union
LaPorte

Hardie Smith
Sheet Metal Workers
Indianapolis

Mark Ferrell
United Auto Workers
Indianapolis

Viola Taliaferro
Monroe Circuit Court #7
Bloomington

Christopher Horn
Local 104 Steelworkers
Newburgh, IN

Thom Rugh
Indiana Association of United Ways
Indianapolis

F. Brannan Jackson
Calvary Institutional Missionary
Baptist Church
Gary

Education and Local Government Members

Nick Banos, Jr.
Central 9 Career Center
Greenwood

Alan Middleton
Garrett-Keyser-Butler C.S.D.
Garrett

Carl Drummer
Center Township Trustee
Indianapolis

Roy Pratt
Gary City Council
Gary

Ted Ellis
Mayor, City of Bluffton

Gerald Lamkin
Ivy Tech State College
Indianapolis

Joanne Martin
Indiana University
Indianapolis

Marilyn F. Schultz
Indiana State University
Terre Haute

Philip Summers
Vincennes University
Vincennes

Ex Officio State Agency Members

William Christopher, Executive Director
State Student Assistance Commission
Indianapolis

Craig Hartzer, Commissioner
Department of Workforce Development
Indianapolis

Stan Jones, Commissioner
Commission on Higher Education
Indianapolis

Thomas McKenna, Executive Director
Indiana Department of Commerce
Indianapolis

Suellen Reed, Superintendent
Indiana Department of Education
Indianapolis

Peter Sybinsky, Secretary
Family and Social Services Administration
Indianapolis

B.1.a.

ii. *Identify the organizations or entities represented on the Board.*

The Indiana Human Resource Investment Council includes four categories of membership, three of which are directly appointed by the Governor, with the fourth group consisting of ex-officio members who represent all of the State agencies with responsibilities for investing in the economic success of Indiana residents and their families. The specific membership categories of the Council include the following groups:

- Business and industry representatives, including individuals who represent business and industry on Private Industry Councils in Indiana.
- Representatives of labor, special populations, and community-based organizations (with a majority of these members recommended to the Governor by the State labor federation).
- Representatives of education and local government.
- The directors of various State agencies including the superintendent of public instruction with administrative responsibility for applicable programs.

Indiana is committed to the broadest possible involvement of all of the stakeholders in Indiana's workforce investment system. With the exception of the Governor, who is directly represented on the Council by his Executive Assistant for Workforce Development Policy, and the members of the General Assembly, who are eligible to serve on the Council in the existing appointment categories, all of the State Workforce Investment Board membership groups identified in WIA have been represented on the Indiana Human Resource Investment Council since its inception.

This history of inclusiveness demonstrates Indiana's long standing recognition that building a well-integrated workforce development system requires the participation of all segments of the workforce investment system. As Indiana moves forward with the implementation of the Workforce Investment Act, the intent is to continuously improve the opportunities for participation by all segments of the workforce investment system through extended participation in the Council's chartered and advisory committees.

B.1.a.

iii. *Describe the process your state used to identify State Board members.*

The Office of the Governor, with the assistance of Council staff, has responsibility for the identification and selection of appointed State Council members. Guided by the requirements of the statute establishing the Council, the Governor's office carefully evaluates potential members of the Council on the basis of geographic diversity, policy making authority, expertise and interest. Prospective members are contacted and briefed on the Council's purpose and mission, and are given the opportunity to voluntarily

determine if they can make a contribution to the efforts of the Council. This helps insure that prospective members are strongly committed to the mission of the Council.

Because of the diverse interests and expertise of the Council's members, they are well positioned to provide leadership at the state level, both to the ongoing achievement of Indiana's workforce investment vision, and to the incorporation of that vision into a broad and integrated review of all of the investments that are made to assist Hoosiers and their families.

Governor O'Bannon expects the Council to identify innovative ways of coordinating all of our existing human investment programs, and with the implementation of WIA, a major component of his overall vision for effective investments will be in place. The Council members understand that they are in a unique position that requires them to integrate the Governor's vision for all human investments with the opportunities represented by the Workforce Investment Act.

Business and labor Nominations to the State Council

Currently, there are two approaches that are used to include business and labor representatives on the human Resource Investment Council. In the case of labor representation, the state labor federation nominates labor representatives to the Governor who makes appointments based on those nominations.

In the case of business representation, the Governor relies informally on business organizations for advice on appointments. However, there is currently no provision in State statute to provide for business nominations. The next round of Council appointments will be structured to comply with the requirements of the Workforce Investment Act. The State statute has been changed to fully address all nomination and membership requirements of WIA. A formal process is being developed for use in making new appointments to the State Board. This process will be designed by January 1, 2000.

B.1.a.

iv. *Describe how the State Board will carry out its functions. How will this Board provide leadership for the statewide system?*

The mission of the Indiana Human Resource Investment Council is to translate the Governor's Human Investment Principles, which include Putting Families First, Investing in Effective Learning, Building Economic Security, and Promoting Community Based Solutions, into a coordinated framework for local action that benefits all Hoosiers. To accomplish this mission, the Council will promote innovative local partnerships, develop a Human Investment Scorecard to measure the effectiveness of the partnerships, and will broadly share information, best practices and lessons learned. As the implementation of the Workforce Investment Act

proceeds, these principles and this mission will guide how the Council will carry out its functions.

Specifically, the Council is organized around four areas of strategic focus:

Building Bright Beginnings

Many of Indiana's youngest citizens are off to a poor start in life. About one child in four lives in poverty. Growing numbers of parents are hard pressed to find quality child care, and increasing numbers of young children lack the benefit of a supportive, involved father. The Building Bright Beginnings Initiative focuses on four areas: Promoting Responsible Parenting, Providing Quality Child Care, Providing Affordable and Accessible Health Care, and Mobilizing Community Resources that make a difference for Hoosier children.

Indiana's Youth: Our Most Valuable Resource

We must promote community-based solutions for the challenges that young Hoosiers face everyday. Violence, drugs, teenage pregnancy and the failure to complete school are all barriers to becoming productive citizens. Community efforts to lower these barriers and to bring together local resources and collaborative efforts need to be encouraged.

Preparing Indiana's 21st Century Workforce

Economic changes driven by technology and global competition have placed new demands on Hoosier workers to acquire new skills for obtaining well-paying jobs. Currently, the vast majority of our workforce development investments are directed either at students entering the workforce, or at the unemployed or economically disadvantaged. To compete in the 21st century, Indiana will have to create a workforce development system that provides all workers with the new skills that meet the needs of Hoosier employers.

Investing In The Economic Security Of All Hoosiers

Indiana has always been a State where hard work and the economic rewards that come from that work are valued. Supporting work and personal responsibility is at the heart of our public policy. We have also recognized that work alone may not provide the basic level of economic security necessary to support our families. Our challenge is to build opportunities for economic security that might begin with work-based assistance and skill building, but that lead to opportunities for self-sufficient employment and asset building.

Since WIA crosses several of the strategic focus areas of the Council, two strategies will be used to ensure that functions of the State Board, identified in the Act, are carried out.

First, the Council will assign primary responsibility for those functions to the appropriate strategic action committee. This committee will be responsible for linking the investments and activities of the workforce investment system to the Council's overall Human Investment Review.

Second, the Council will delegate the day-to-day activities of WIA administration to the state's WIA Steering Committee and the staff of the Council's partner agencies. This will

guarantee not only that the investments represented by WIA will be incorporated into Indiana's Broad Human Investment vision, but also that the Council will be organized in a manner that reflects the relationship between the local boards and their One-Stop partners.

The broad focus of the Indiana Human Resource Investment Council allows the Council to provide direction-setting leadership in several ways that enhance the Act's emphasis on the continuous improvement of the workforce investment system. The Council uses a three step, strategic approach that includes the following elements:

- Strategy Development activities that are designed to identify new opportunities for the State to increasing value form the investments that are made in Hoosiers and their families. This approach is grounded in the notion a strategic view of continuous improvement of a system, like the emerging workforce investment system, lies in understanding two fundamental points: the benefit of having a well-articulated, stable purpose (what the system exists to do) and the importance of discovering, understanding, and exploiting insights about how to create continuously improving value in the system.
- Strategy Deployment recommendations that grow out of the relationship of the Council and its partner agencies. While Indiana does not envision the day-to-day implementation of WIA being a functional responsibility of the Council, the linkages between the Council and the partner agencies will provide an ongoing forum for aligning the activities of all of the State partners that are building the workforce investment system.
- Strategy Review in which the outcomes of the state's human investment strategies are evaluated on a continuous basis and adjusted to meet the changing needs of Hoosiers and their families. Strategic Review provides the framework for both performance assessment and continuous improvement in the workforce investment system, and will serve to incorporate Indiana's workforce investments into a comprehensive review of all public investments.

B.1.a

v. *How will the State Board coordinate and interact with the local WIBs?*

The Human Resource Investment Council provides a forum where public dialogue about the Governor's workforce development vision can occur in the context of the ongoing implementation of the Workforce Investment Act. There are five primary areas where the Council will coordinate and interact with the local Workforce Investment Boards.

1. Act as the public forum for the ongoing development of the State WIA Plan over the five year planning period. Examples of this role include:

- Joint Council/WIB planning sessions conducted throughout the state to provide an early warning system for emerging issues,
 - Regular briefings to the Council's 21st Century Workforce Investment Committee by the state One-Stop Steering Committee designed to provide real-time feedback on the performance and continuous improvement of the state and local One-Stop workforce investment system,
 - Incorporation and reporting of the local Board performance in the Indiana Human Investment Review, and
 - A public procedure for including local Boards and the public in the on-going development of the five year unified state plan via the Internet
2. Build the leadership capacity of the new Workforce Investment Boards and the local elected officials to create a comprehensive new workforce investment system and not a new version of the old employment and training programs. These boards will not only have to address all three elements of the workforce--incoming, in transition, and incumbent--in order to succeed, but they will have to forge new and effective links to the business and economic development community. Strategically, these new boards will face four major challenges where the Human Resource Investment Council will offer leadership and coordination.
- Understanding that their role is to act as local investors in the system and that they will be measured on their investment success.
 - Using demand side workforce development strategies to align the overall workforce development system in their workforce investment area.
 - Developing an effective, publicly supported One-Stop system with a clearly defined mission.
 - Serving the very different needs of workforce--incoming, in transition and incumbent--as well as the needs of employers.
3. Encourage the local boards to join in the development of a consistent Unified Plan that serves as both a strategic and tactical opportunity to promote the Governor's vision of high performance and continuous improvement across all publicly funded investments.
- Strategically, by linking state agencies and their local and federal partners to a common framework for communicating investments, actions, outcomes and needs.
 - Tactically, by aligning state and local implementing agencies plans into a consistent framework that recognizes the unique needs of each partner, within a comprehensive investment strategy.

4. Incorporate the Workforce Investment Act performance accountability requirements into the Human Resource Investment Council's overall mission of developing a broad Human Investment Scorecard, that makes it possible to answer the questions: are we making good investments, and how can we make better investments in the future?
5. Practice cross-membership between the Council and Local Boards whenever possible by encouraging Chief Elected Officials to appoint Council members to the Local Boards, and by creating flexible membership opportunities for local representation on the Council's 21st Century Workforce Investment Committee.

B.1.a.

- vi. *How will the State Board ensure that the public (including people with disabilities) has access to Board meetings and information regarding Board activities, including membership and meeting minutes?*

The Indiana Human Resource Investment Council is required to comply with the State's Public Meeting and Open Records Statutes. The Council has also adopted a pro-active strategy for communicating with the public, including the development of an internet-based web site and regular public forums across the State.

Investment information will be organized in an electronic format to facilitate access. The basic framework for sharing information will be developed as an interactive database called the "Indiana Investment Information System." It will serve as a collaborative information system designed to collect, organize and share information about the effectiveness of public investments in local communities.

This executive information system will be Internet-based, and will provide on-line, real-time access to the information that local communities need to use investments wisely. Sharing information about Investments, Services, Outcomes and Needs will permit State and local leaders to use the most current information that is available when they make decisions about investing in programs and initiatives that benefit hard-working Hoosiers and their families.

The Internet site is merely another method of keeping the public apprized of the activities, meetings, policies, and opportunity for comment. It is not meant to replace the more traditional methods used in the past. Supplemental use of the Internet to disseminate this information will actually make the information readily available to an incredibly larger number of Indiana citizens, businesses and organizations.

Paper mailings were used to notify everyone of postings/information on the Internet. The paper mailings directed individuals to a phone number to call if they needed a hard copy mailed to them. In several places in the plan, we reference use of the Internet "and more traditional methods of communication."

Other vehicles include:

- The Steering Committee which is responsible for notifying its various field staff.
- The “WIA Flash”, a regular lay language newsletter designed to break WIA down into understandable parts. The Flash is delivered to all partners at the State and local levels, as well as AFSCME, AFL-CIO, and others.
- Public speaking opportunities, which have included numerous invitations for conferences, seminars, radio shows, and small group meetings.
- Developments, a magazine of DWD with broad statewide distribution to partners and stakeholders.

B.1.b. *Identify the circumstances which constitute a conflict of interest for any State or local Workforce Investment Board members, including voting on any matter regarding the provision of service by that member or the entity that s/he represents, and any matter that would provide a financial benefit to that member or his or her immediate family.*

The Workforce Investment Act of 1998, P.L. 105-220, states at Section 111 (f) Conflict of Interest that:

A member of a State board may not—

- (1) vote on a matter under consideration by the State board--
 - (A) regarding the provision of services by such member (or by an entity that such member represents); or
 - (B) that would provide direct financial benefit to such member or the immediate family of such member; or
- (2) engage in any other activity determined by the Governor to constitute a conflict of interest as specified in the State plan.

Section 117(g) follows essentially the same language regarding members of local Workforce Investment boards.

After reviewing Indiana's existing State policy on Uniform conflict of Interest Standards Applicable to Private Industry Council issued on July 10, 1998, we found that with minor modifications, primarily involving replacing PIC references with WIB, these standards could continue to be used under WIA. Therefore the JTPA Conflict of Interest policy has been modified and adopted as the Conflict of Interest Policy for both the State and local Workforce Investment Boards. A copy of that policy is contained in Attachment #5.

B.1.c. *Identify the criteria the State has established to be used by the CEO in the local areas for the appointment of local Board members.*

To gather a wide array of input from interested parties, the State facilitated workgroup

meetings to make policy recommendations on local WIB appointment criteria. The workgroup included representatives from business, labor, current JTPA administrative entities, private and public vocational education entities, community-based organizations and various One-Stop partner agencies. Membership to the workgroup was open to the general public. Also, the intent to hold these sessions was posted to DWD's homepage along with various electronic and more traditional methods of volunteering for the workgroup.

Two all-day sessions were held to collect recommendations for the establishment of local boards. Input from the sessions was posted to DWD's homepage (and also distributed to all workgroup members) with the opportunity for all interested parties to comment via e-mail, a bulletin board, and more traditional methods.

Input from all parties was considered in developing DWD's first draft Policy for the Establishment of Local Workforce Investment Boards. This draft was also posted to DWD's homepage for additional comments. The first official policy was issued on December 23, 1998 through DWD Communication: # 98-26 as the 'Policy for the Establishment of Local Workforce Investment Boards'. This policy was distributed to Chief Elected Officials as part of the Local Planning Guidance, and was posted to DWD's homepage for continuous input on the policy. The policy was revised in February, 1999 when clarification was received on some issues from DOL.

DWD's current policy for the Establishment of Local Workforce Investment Boards is included in as Attachment #5. The policy details the written guidance provided to local elected officials concerning the criteria for appointment of local Board members.

B.1.d. Allocation Formulas:

B.1.d.

- i. *If applicable, describe the methods and factors (including weights assigned to each factor) your State will use to distribute funds to local areas for the 30% discretionary formula adult employment and training funds and youth funds pursuant to sections 128(b)(3)(B) and 133(b)(3)(B). Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout your State and that there will not be significant shifts in funding levels to a local area on a year-to-year basis.*

Adult Allocation Formula

Indiana will follow the JTPA allocation formula, including state set-asides and hold harmless for PY 99 for 77% of the funds. On July 1, 1999, all adult WIA funds will be transferred into WIA. Local areas will receive an additional allocation from what would have been the state set-asides under JTPA in order to reduce the state's share to no more than 15% of the total allocation. The secondary allocation will also use the three-part formula prescribed under the Act, but without hold harmless. In this manner, we will be able to give those areas that would have been affected by the lack of a hold harmless under

WIA a year to prepare for the decline in funds, while still allowing them to fully operate under WIA rules for PY 99. Making the additional allocation on July 1 without hold harmless is a step in that adjustment. The PY'99 adult allocation will be a combination with one portion allocated with a hold harmless provision and another portion allocated without. In this way, local areas are transitioned into the WIA allocation formula but with minimal disruption.

Indiana will follow the JTPA allocation formula, including state set-asides and hold harmless for PY 99 for 77% of the funds. On July 1, 1999, all adult JTPA funds will be transferred into WIA. Local areas will receive an additional allocation from what would have been the state set-asides under JTPA in order to reduce the state's share to no more than 15% of the total allocation. The secondary allocation will also use the three-part formula prescribed under the Act, but without hold harmless. In this manner, DWD will be able to give those areas that would have been affected by the lack of a hold harmless under WIA a year to prepare for the decline in funds, while still allowing them to fully operate under WIA rules for PY 99. Making the additional allocation on July 1 without hold harmless is a step in that adjustment. The PY 99 adult allocation will be a combination with one portion allocated with a hold harmless provision and another portion allocated without. In this way, local areas are transitioned into the WIA allocation formula but with minimal disruption.

DWD will use the Secretary's transition authority to apply hold harmless for PY 2000. Additionally, DWD will use the hold harmless provision at Section 133(b)(2)(A)(ii) of the Act beginning with PY 2001: ". a local area shall not receive an allocation percentage for a fiscal year that is less than 90% of the average allocation percentage of the local area for the two preceding fiscal years. Amounts necessary for increasing such allocations to local areas to comply with the preceding shall be obtained by proportionately reducing the allocations to be made to other local areas."

A chart showing local allocations for PY '99 may be found in Attachment #6.

Youth Allocation Process

Title HC

~~For PY '99, youth funding will be formula allocated according to Section 262(b) of the Job Training Partnership Act (JTPA), as amended by Title VII of the JTPA Amendments of 1992.~~

~~DWD will use the Secretary's transition authority to apply hold harmless for PY 2000. Additionally, DWD will use the hold harmless provision at Section 128(b)(2)(A)(ii) of the Act beginning with PY 2001: ". A local area shall not receive an allocation percentage for a fiscal year that is less than 90% of the average allocation percentage of the local area for the two preceding fiscal years. Amounts necessary for increasing such allocations to local areas to comply with the preceding shall be obtained by proportionately reducing the~~

~~allocations to be made to other local areas.”~~

~~A chart containing the youth allocation for each Workforce Investment Area for PY '99 is in Attachment #6.~~

Title IIB

~~The JTPA Title IIB Summer Youth allocations are calculated using the three part formula stipulated in Section 252(b) of JTPA, as amended by the JTPA Amendments of 1992. A 90% hold harmless is also applied. The data used for these allotments are the same data as were used for JTPA Title IIA adult allotments, except that data for the number of economically disadvantaged youth (age 16 to 21, excluding college students and military) from the 1990 Census were used. Please see Attachment #6 for this allocation.~~

Job Training Partnership Act

For PY'99, Job Training Partnership Act (JTPA) Title IIC youth funding was formula allocated according to Section 262(b) of JTPA, as amended by Title VII of the JTPA Amendments of 1992. A 90% hold harmless was also applied. The data used for these allocations were the same data as were used for JTPA Title IIA Adult allocations, except that the data for the number of economically disadvantaged youth (age 16 to 21, excluding college students and military) from the 1990 Census were used.

Also for PY'99, JTPA Title IIB Summer Youth allocations were calculated using the three-part formula stipulated in Section 252(b) of JTPA, as amended by the JTPA Amendments of 1992. A 90% hold harmless was also applied. The data used for these allocations were the same data as were used for JTPA Title IIA Adult allocations, except that data for the number of economically disadvantaged youth (age 16 to 21, excluding college students and military) from the 1990 Census were used.

Charts containing the JTPA Titles IIC Youth and IIB Summer Youth allocations for each workforce investment area for PY'99 are in Attachment #6.

Workforce Investment Act

Youth programs funded by the Workforce Investment Act (WIA) will begin in Indiana on April 1, 2000. Beginning with the PY'00 allocation process and continuing in subsequent program years, the WIA youth allocations will be calculated using the three-part formula contained in Section 128(b)(2)(A)(i). Also, beginning with the PY'00 allocation process and continuing in subsequent program years, DWD will apply the hold harmless provision as contained in Section 128(b)(2)(A)(ii). (For PY'00 only, DWD will use the Secretary's transition authority to apply the hold harmless provision.)

An equitable distribution of the WIA youth funding will be assured as Indiana is following the three-part formula contained in the Act. The formula uses a combination of the most recent labor force statistics and economically disadvantaged data from the Census. The hold harmless provision will be used to lessen a wide shifting of youth funding from year to year. It is possible to use the hold harmless provision beginning in PY'00, as workforce service area designations under WIA did not change from service delivery area designations under the Job Training Partnership Act.

Charts containing the PY'00 WIA allocations will be provided to U.S. DOL at a later date.

B.1.d.

- ii. *Describe the State's allocation formula for dislocated worker funds pursuant to section 133(b)(2)(B).*

Allocation Formula for Dislocated Worker Funds

| Allocation Factor | Data Source & Time Period | Weight assigned in Formula |
|---------------------------------------|---|-----------------------------------|
| Insured unemployment data | Annual report of Unemployment Compensation claimants for calendar year 1998 | 30% |
| Unemployment concentrations data | Labor force for counties report/July 1997 to June 1998 | 30% |
| Plant closing & mass layoff data | Plant closure/mass layoff report/ July 1997 to June 1998 | 15% |
| Declining industries data | County employment patterns report/calendar year 1997 and baseline year data | 10% |
| Farmer/Rancher economic hardship data | Bureau of economic analysis farmer's personal income & expense report/calendar year 1996 and baseline year data | 5% |

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| Long-Term Unemployment data | Annual report of Unemployment Compensation claimants with 15 or more weeks claimed/calendar year 1998 | 10% |
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Allocations for each Workforce Investment Area for PY '99 are in Attachment #6.

B.1.d.

- iii.** *For each funding stream, include a chart that identifies the full allocation to each local area for the first fiscal year, describe how the individuals and entities represented on the State Board were involved in the development of factors, and describe how consultation with local Boards and local Chief Elected Officials occurred.*

Allocation Process

Input from entities interested in the youth, adult and dislocated workers allocation formulas occurred through participation as work-group members. Work-groups were formed to provide recommendations on various issues surrounding the implementation of WIA in Indiana. Consultation with local Boards and local Chief Elected Officials also occurred through the work-groups, which are described elsewhere in the plan.

Also, consultation occurred through distribution of the draft allocation policy for review and comment. Distribution of the draft policy occurred on the Internet as well as traditional paper. All comments received by the State concerning the draft allocation policy were considered prior to inclusion in the State Plan and publication of the final allocation policy.

- B.1.e.** *Describe competitive process to award grants & contracts for Title I including how potential bidders are made aware of availability of grants & contracts.*

DWD will generally initiate the grant process for reserved funds through announcements, including formal Requests for Proposals for some targeted services, sent to all grantees and other eligible entities. The announcements will indicate the availability of funding, the requirements for application, and method of selection.

The proposals will then be considered by a DWD review team, weighing factors that include performance on prior grants or other indicators of fiscal and operational activity, expenditure rates on Title I formula allocations (particularly Chapter 5) or availability of other funding sources and the justification provided as well as other pre-established rating criteria. Proposals will be considered against the criteria of efficiently targeting resources to areas of most need and promoting the effective use of funds.

The State will determine which, if any, projects it will initiate and fund based on available resources, alternative methods of achieving these goals, and the level of need for the

targeted populations or regions. Some projects, particularly those for dislocated workers, will generally be open to application on an as needed basis throughout the plan period. Specific rating criteria will be established for each type of project. DWD reserves the right to utilize these funds for any project allowable under Title I including services to dislocated workers, incumbent workers, displaced homemakers, low income individuals, older individuals, individuals with disabilities, veterans, and youth. The emphasis, however, will be on incumbent workers.

Contracted services will be initiated by DWD when a needed service is identified and an outside entity is the best source of the services. Depending on contract amount, urgency of need, and compliance with all applicable OMBs, CFRs and state procurement standards, DWD will solicit bids formally, or issue a Broad Agency Announcement (BAA) or a Request for Proposals (RFP) in conjunction with the Indiana Department of Administration (DOA).

By these methods, a broad spectrum of potential vendors is known and will be contacted whenever possible. The selection determination will be based on cost and ability to perform the required services as determined by DWD. For contracts under BAAs or RFPs, DWD will make the determination in conjunction with Indiana DOA.

In all cases, DWD will follow all applicable federal legislation, policy and regulations, as well as all applicable state requirements and approvals.

B.1.f. *Identify the criteria to be used by local boards in awarding grants for youth activities, including criteria used by the Governor and local boards to identify effective and ineffective youth activities and providers.*

Indiana's criteria to be used by local Workforce Investment Boards (WIBs) to identify effective and ineffective youth activities and providers at the state and local level is outlined below. It replicates the criteria for effectiveness in youth and workforce development programs identified by the Promising and Effective Practices Network (PEPNet). PEPNet, a project of the National Youth Employment Coalition (NYEC) identifies and promotes criteria of effective practice in youth employment/development. Local grants or contracts will be awarded for youth programs that meet the four following quality standards. Additionally, youth programs will be identified as "effective" if they also met the four quality standards:

- Organization and Management;
- Youth Development;
- Workforce Development; and
- Evidence of Success.

Each of the four quality standards listed above will be measured against the benchmarks listed below. For the first year (Program Year 2000), each youth program in the workforce service area must meet a minimum of two benchmarks per standard to be

eligible for funding or to be named as an effective youth program. For the second year, the standard will be a minimum of three benchmarks per standard and for the third year and beyond, a minimum of four benchmarks per standard. For each youth program, the specific strategies, methods, techniques, and approaches that will be used to measure each benchmark will be determined locally.

The criteria to be used as a basis for awarding grants will be established at the local level by each Youth Council and approved by the WIB. The criteria that will serve as the basis for awarding a grant to a particular competitor will be included within each Request For Proposal. The Department of Workforce Development recommends the criteria relate to the required program elements, e.g., which tutoring programs are effective, which dropout prevention programs work, or which summer employment programs are directly linked to academic and occupational learning etc.

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| <p>Organization and Management</p> <p>Effective programs for youth result from strong, stable, and competent management by the organization that operates the initiative. Quality management is exemplified by an engaged, qualified, and committed leadership and staff, who work in collaboration with others and use information and data to continuously improve the program.</p> | |
| Benchmarks | Specific Strategies, Methods, Techniques, and Approaches |
| Present a Clear and Consistent Mission | <ul style="list-style-type: none"> • Concentrate initiative's focus and action around clearly written mission statements. • Schedule interdepartmental staff meetings to get and keep staff "on the same page." • Create a sense of organizational purpose through screening and orientation processes (e.g., "Mental Toughness Training" or "Rites of Passage.") • Participate as a staff in the PEPNet Self-Assessment process. • Develop mission based on research and analysis of community needs. • Provide a training manual for staff and all principal agencies. • Adopt formal communication channels (student creed, bulletin board, handbook, etc.) • Create opportunities for inter-organizational training and development. • Share leadership responsibility among a team of senior staff. • Maintain a high level of open and clear communication among staff. |
| Maintain Continuity and Competency of Leadership | <ul style="list-style-type: none"> • Recruit professionals from diverse backgrounds (e.g., from education, business, health and human services, human resources, workforce development) • Maintain high hiring standards and expectations for all staff. • Affiliate with national organizations that offer access to national training. • Offer release time to attend conferences and professional gatherings. • Build staff development into weekly/monthly meetings, retreats, and special sessions. • Evaluate new hires on competence not credentials. • Hire a culturally diverse staff from within the community being served. |
| Incorporate Staff Development as a | <ul style="list-style-type: none"> • Involve key staff in all program decision and policy formulation. |

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| Management Strategy | <ul style="list-style-type: none"> • Emphasize internal promotions for students and staff. |
| | <ul style="list-style-type: none"> • |
| Leverage Resources through Collaboration and Partnership | <ul style="list-style-type: none"> • Build governing boards in compliance with the Workforce Investment Board and state policy. • Recast traditional role of service provider into one of service broker with a focus on building a network of services. • Build strong collaborative partnerships among school districts, churches, city government, social service agencies, businesses, higher education, and CBOs. • Be adequately networked to provide appropriate referrals as needed. • Use public relations campaigns to increase program visibility. • Justify requests for funding on benefits to broader community. • Staff work as “entrepreneurs” building inter-institutional partnerships. |
| Commit to a Continuous Improvement Strategy | <ul style="list-style-type: none"> • Continually assess progress through record review. • Pursue customer-driven programming and measure success through customer satisfaction surveys. • Promote quality management throughout the organization and among partners. • Invite customer suggestions and give them full consideration. • Base management decisions on careful analysis of information. • Disseminate reports to board members or parent organization. • Develop and maintain a management information system (see Evidence of Success). |

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| Attract Diverse Funding | <ul style="list-style-type: none"> • Aggressively seek support from foundations, businesses, labor, the state, social agencies, CDC's, and the communities themselves. • Increase fee-for-service income. • Utilize donations to decrease operational costs. • Implement program as a collaborative rather than a city-run program. • Decrease dependence upon federal and state support by building local support. |
| Youth Development Effective programs are built on a well-conceived and implemented approach to youth development. A commitment to youth development is exemplified by a conscious and professional reliance on youth development principles to shape program activities, including high expectations, caring relationships, and an holistic service strategies that build responsibility and identify a view towards youth as resources. | |
| Benchmarks | Specific Strategies, Methods, Techniques, and Approaches |
| Nurture Relationships Between Youth and Caring Adults | <ul style="list-style-type: none"> • Foster a safe, nurturing family atmosphere • Encourage recreational activities for students and staff. • Restructure the traditional role of service provider to one of mentor or coach. • Begin forging bonds between clients and staff early in the initiative. • Keep the ratio of youth to staff as low as possible and create opportunities for one-on-one. • Utilize youth as peer links between staff and students. • Encourage joint goal setting. |
| Engage Family and Peers in Organized Activities | <ul style="list-style-type: none"> • Hire staff to work specifically with parents and peers. • Invite families to attend orientation sessions, open houses, and recognition ceremonies. • Engage families in workshops and services. • Organize peers into a mutual support network. • Provide volunteer opportunities for family and peers. • Provide feedback to family members on |

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| | <p>youth's progress in person or written form.</p> <ul style="list-style-type: none"> • Enlist peers or graduates of the program to serve as tutors and/or mentors. |
| Place High Expectations on Youth and Staff | <ul style="list-style-type: none"> • Offer incentives for good student performance. • Clearly present expectations in written form in a manual. • Reinforce motivation and commitment to program ideals through daily group meetings. • Communicate the belief that youth can meet and exceed high expectations. • Hold youth accountable for their actions. • Establish boundaries, set reasonable limits, and consistently enforce rules and regulations. • Teach and expect all youth and staff to respect diversity. • Expect youth to serve as role models, and perhaps recruiters, for the program. |
| Build Youths' Responsibility and Leadership Skills | <ul style="list-style-type: none"> • Youth participate in management and decision-making processes • Youth participate in the planning and implementation of projects and activities. • Youth participate in setting their own goals and devising plans to achieve them. • Youth participate in leadership classes. • Individual youth are given responsibility for overseeing a team, group, or crew. |
| Offer Individualized Age and State Appropriate Activities | <ul style="list-style-type: none"> • Assess individual needs and goals at intake. • Customize courses for the proactive integration of youth with special needs. • Sequence activities so youth experience series of successes and increase responsibility. • Utilize a holistic approach that builds life skills for successful adulthood |

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| Develop a Sense of Group Membership | <ul style="list-style-type: none"> • Increase group identification and personal pride through a challenging selection criteria and high standards that demand perseverance and determination. • Build group identity through uniforms, morning exercises, or group counseling. • Initiate team building activities and organized youth enterprise activities. • Arrange community service activities to demonstrate what teamwork can accomplish. |
| Foster a Sense of Identity and Self | <ul style="list-style-type: none"> • Offer content directly related to students' experiences. • Engage participants in activities surrounding youth urban culture. • Youth design and implement projects that explore and deepen cultural understanding. • Use partnerships and committees to promote cultural and ethnic awareness. • Increase opportunities for youth to engage in active and self-directed learning. |
| Workforce Development Effective programs clearly emphasize the development of skills, knowledge, and competencies that lead to jobs and careers. The preparation of youth for the workplace, through the appropriate use of training, workplace exposure, work experience, education, a consistent emphasis on the connection between learning and work, and the active involvement of employers, exemplifies workforce development. | |
| Benchmarks | Specific Strategies, Methods, Techniques, and Approaches |
| Nurture Career Awareness and Exploration | <ul style="list-style-type: none"> • Offer multiple and sequential exploration experiences rather than one-shot activities. • Provide opportunities to learn and prepare for colleges and universities. • Take field trips to work sites and invite guest speakers to talk about career options. • Provide access to a job reference library, job listings, and labor market information. • Involve youth and employers in career |

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| | <p>and job clubs, career days, and career fairs.</p> <ul style="list-style-type: none"> • Encourage local employers to offer job-shadowing opportunities. • Help staff increase their career awareness through structured worksite visits. |
| Embed Career Guidance and Career Planning Throughout Program | <ul style="list-style-type: none"> • Guide youth through self-assessment of personal interests and goals. • Offer proactive counseling sessions dedicated to career planning. • Offer workshops and courses that cover career topics such as resume writing, interview skills, job hunting, and job keeping skills. • Help youth maintain a “career planning portfolio” or other career plan. • Emphasize job retention and career advancement over entry-level placement. • Coordinate and integrate multiple services within a “One-Stop Career Center.” • Use counselors and mentors to nurture and support youth through work experiences. |
| Provide Work-Based Learning Opportunities | <ul style="list-style-type: none"> • Fully utilize opportunities to use non-paid work experiences to teach basic work skills. • Structure service learning and community service experiences to teach transferable skills. • Employ a range of paid, part-time, subsidized, and summer work experiences. • Create multiple and flexible internship experiences of varying lengths. • Team with trade unions to offer apprenticeship or pre-apprenticeship opportunities. • Create opportunities for youth to work alongside journey-workers and |

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| | professionals. |
| Provide Experiential Learning Opportunities | <ul style="list-style-type: none"> • Create project-based learning experiences designed to teach transferable skills. • Construct a “Work Experience Ladder” that allows youth to progress upward. • Involve youth in service learning activities that develop job skills while teaching the value of each individual’s contribution to the community. • Instill the value of self-discovery and learning from one’s mistakes by having staff, employers, and community members serve as coaches and facilitators to youth. |
| Ensure that Employers are Actively Engaged | <ul style="list-style-type: none"> • Invite businesses to share their technical business expertise (e.g. management, training.) • Engage employers in active roles on advisory and/or steering committees. • Communicate regularly so those employers can mentor youth and undertake evaluations consistent with program goals and objectives. • Invite employers to provide instructional staff, training facilities, and other resources. • Encourage employers to serve as mentors or full partners in student-led projects. |
| Emphasize the Connection Between Work and Learning | <ul style="list-style-type: none"> • Offer evening tutorial services. • Integrate the teaching curriculum around a unifying career theme. • Rotate youth through varied work settings to allow them to gain a better understanding of the educational requirements necessary for access to and success in those fields. • Document attainment of workforce development through program performance reviews. |

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| Offer Post-Placement Activities | <ul style="list-style-type: none"> • Staff monitors job retention and assist with job development services. • Strong linkages with higher education to promote smooth transition. • Program staff takes it upon themselves to promote informal, personal follow-up. • Alumni Associations offer support, life skills training, and job networking workshops. • Programs or employers offer scholarships, tuition assistance, or financial aid advice. • Graduates invited to make recommendations for program improvement or return to serve as volunteers, mentors, or program staff. |
| Evidence of Success Effective programs display a willingness and ability to collect, document, and present evidence of success. The collection and use of credible data or other measures that reflect the soundness of program goals, operational effectiveness, and their ability to achieve the desired outcomes exemplify this. | |
| Benchmarks | Specific Strategies, Methods, Techniques, and Approaches |
| Establish Intermediate and Long-term Outcomes and Measurable Indicators. | <ul style="list-style-type: none"> • How the program will assist the performance of the WSA so the WIB meets the outcomes negotiated with the State for the following youth age 19-21 performance standards/State goals: <ul style="list-style-type: none"> - entry into unsubsidized employment; - retention in unsubsidized employment 6 months after entry into the employment; and - Attainment of a recognized credential relating to achievement of educational skills or occupational skills through participation in post secondary education, advanced training, or unsubsidized employment. • How the program will assist the performance of the WSA so the WIB meets the outcomes negotiated with the State for the following youth age 14-18 performance standards: <ul style="list-style-type: none"> - attainment of basic skills and, as |

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| | <p>appropriate, work readiness or occupational skills;</p> <ul style="list-style-type: none"> - attainment of secondary school diplomas and their recognized equivalents; and - placement and retention in post secondary education or advanced training, or placement and retention in military service, employment, or qualified apprenticeship. <ul style="list-style-type: none"> • Establish measurable indicators that would reflect the expected outcomes for overall student achievement, e.g., high attendance, retention rate, completion rate, placements, and attainment of credential. • Establish individual goals for each participant through individual service plans that allow the client to achieve the intended program outcomes and their own goals: e.g., developing responsibility, managing aggression, and overcoming addiction. |
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| Collect Data | <ul style="list-style-type: none"> • Collect data on easily observable and measurable actions and outcomes. • Benchmark current performance to use as comparison for future performance. • Collect data on a regular basis to allow accurate tracking of progress toward outcomes. |
| Maintain Data | <ul style="list-style-type: none"> • Recruit employers to help collect data on how participants and graduates succeed in continuing education, training, or on the job. • Collect information on program costs to estimate return on investment. • Design and use a Management Information System (MIS.) • Make information readily accessible to workforce investment board, youth council, staff, and participants. • Create or use the resources of a specially equipped research department or software. |
| Use Data for Management Decision Making | <ul style="list-style-type: none"> • Directors and board members model appropriate behavior to staff by demanding and relying on objective information for decision making. • Compare program progress against interim goals and modify delivery process, as necessary, to improve results. • Implement a case management system that allows instructors, counselors, and administrators to monitor and evaluate the individual progress of the participants and then modify service delivery strategies accordingly. • A performance quarterly quality assurance reviews and uses them to improve operations. |
| Use Data to Assess Progress and Evaluate Effectiveness | <ul style="list-style-type: none"> • Participate in an independent evaluation. • Conduct comprehensive self-assessment as part of a creditation process. • Participate in audit as required by legislation. • Conduct independent internal audit to |

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| | review outcomes, procedures, and fiscal activity. <ul style="list-style-type: none"> • Survey stakeholders and use feedback for program improvement. |
| Share Information With Stakeholders | <ul style="list-style-type: none"> • Submit monthly reports to WIB. • Share program evaluations with funders and potential funders. |

B.1.g. *If you did not delegate this responsibility to local Boards, provide your State's definition regarding the sixth youth eligibility criterion at section 101(13)(C)(vi) ("an individual who requires additional assistance to complete an educational programs, or to secure and hold employment").*

The sixth youth eligibility criterion at section 101(13)(C)(vi) will be defined by each WIB.

B.1.h.i. Describe major state policies and requirements that have been established to direct and support the development of a statewide workforce investment system not described elsewhere in the plan.

The following chart shows Indiana's implementation time-frame. Major policy issues follow the chart. All DWD WIA policies may be accessed through the internet at <www.dwd.state.in.us/policy>.

| One Stop Component | PY 99 Quarter | | | | PY 00 Quarter | | | |
|--------------------------|--|---|---|----------------------------------|---|---|---|---|
| | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| State Board | Implemented by state statute effective July 1 | | | | | | | |
| Unified State Plan | Unified plan addresses WIA, UI, Wagner-Peyser, WtW, VR & Perkins | | State plan modification sent to DOL to add youth program elements | | Additional partner resources added to state plan. | | | |
| Areas Designated | Completed prior to July 1 | | | | | | | |
| LWIBs | Certified by July 1 | | | | | | | |
| Local Plans | Approved by July 1 for adult and DW | | Modifications due Jan 1 to address Youth Planning under WIA | April 1 start date for WIA Youth | | | | |
| Fiscal Agent | Identified in local plan prior to July 1 | | | | | | | |
| One-Stop Operators | Designated in CEO agreement prior to July 1 | | | | | | | |
| WIA adult and DW streams | All JTPA funds transitioned into WIA July | | | | | | | |

| One Stop Component | PY 99 Quarter | | | | PY 00 Quarter | | | |
|---------------------------------------|--|------------------------------------|------------------------------------|--|----------------------|------------------------------------|------------------------------------|------------------------------------|
| | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| | 1 for adult and DW | | | | | | | |
| Hold Harmless ceases | Adult funds allocated with hold harmless for July 1.(Transition to WIA July 2) | | | Youth Program allocations are with hold harmless | | | | |
| Regional Planning Between WIBs | | | | Regional Plans due April 1 | | | | |
| Youth Councils Established | | Appointed by Sept. 30 | | | | | | |
| Incumbent Worker Councils Established | Appointed by Sept.1 | Appointed | | | | | | |
| MOUs | Basic MOUs implemented | On-going planning, cross education | → → → | → → → | More integrated MOUs | → → → | → → → | → → → |
| Vouchers | Implemented | | | | | | | |
| List of providers and Consumer Report | Self-reported data to the extent available | Quarterly update to providers list | Quarterly update to providers list | Quarterly update to providers list | Full consumer report | Quarterly update to providers list | Quarterly update to providers list | Quarterly update to providers list |
| Chartering of One-Stops | Current one-stops "grand-Fathered. TA to WIBs in chartering process | TA to WIBs → → → | → → → | → → → | One-Stops chartered | One-Stops chartered | | |
| One-Stop Operators | Designated prior to July 1 | | | | | | | |

Independent Workforce Investment Board

The test of independence may be met by:

- a) A complete separation of staff to the board from any staff that deliver or manage services. If this option is selected, the WIB may
 - designate or certify a One-Stop operator(s) through a competitive process, or
 - certify an existing entity carrying out activities through the One-Stop system as a One-Stop operator with the concurrence of the Chief Elected Official and the state administration, or
 - designate a coalition of three or more partners; or
- b) The staff or entity that performs staff services for the board may also provide services if it is one of a coalition of three or more partners that performs the One-Stop operator function. The coalition agreement must clearly state the authorities of each partner. Complete separation of Board staff from service delivery is the desired goal. We will work towards this goal with the WIBs and CEOs over the course of this plan.

A regional board and Chief Elected Official may submit a request to the state board to include optional partners, receive partner funds, and incorporate other substate councils and boards. Such request must include a plan to ensure staff of the regional board are not also staff of any entity that delivers services.

Establishment of the Workforce Investment Board

The Chief Elected Official for a region may determine whether to:

- a) Establish a new board and Youth Council, OR
- b) A Chief Local Elected Official may temporarily designate an existing entity as a Workforce Investment Board under the following conditions:
 - (1) the local area overseen by the existing entity closely corresponds to the Workforce Investment Area and
 - (2) was in existence on December 31, 1997 and
 - (3)
 - i. was established pursuant to section 102 of the Job Training Partnership Act or
 - ii. is substantially similar to the local board described in the Workforce Investment Act of 1998 ("substantially similar" is defined to mean it has a private sector majority and includes representatives of education and community-based

organizations), and

(4) includes

- i. representatives of business in the local area and
- ii. (I) representatives of labor organizations (for a local area in which employees are represented by labor organizations), nominated by local labor federations, or

(II) for a local area in which no employees are represented by such organizations, other representatives of employees in the local area.

The temporary Board must add members to come into compliance with WIA by June 1, 1999. The Workforce Investment Board certified July 1, 1999 must establish a youth council by September 30, 1999. The Board may choose to utilize the area school-to-work partnership as the youth council provided it meets the membership criteria of the Act, or adds appropriate individuals to meet the membership requirements.

Meeting membership composition requirements qualifies Workforce Investment Boards for 'Tier I' certification. Indiana will require boards to meet higher level 'Tier II' criteria in order to retain certification and earn additional authorities. Malcolm Baldrige criteria will be use as a framework. Board work differs from one-stop work. Tier II certification will recognize boards who are doing the right things as boards and who are setting expectations for excellence and continuous improvement in the one-stop system. Our goal is to have criteria developed by February 2, 2000.

Regional Planning

Each WIB will plan for services, One-Stop operator selection, and Title I outcomes for its area. In cases where two or more areas share a labor market, the State will require regional planning by the affected Workforce Investment Boards. The boards will engage in regional planning that results in the establishment of regional performance measures. The areas will be required to coordinate provision of One-Stop services, including transportation and other supportive services, so that the services are accessible across the boundaries of the local areas. The individual area plans will be incorporated in a regional plan that also addresses regional needs and outcomes.

One-Stop Facilities

The current facilities that have been considered One-Stop Workforce Development Centers up until June 30, 1998 may continue to be recognized as One-Stop facilities after implementation of WIA, and may receive temporary charters subject to meeting minimum criteria jointly agreed to by the Workforce Investment Boards and the state administration. This is intended to recognize physical facilities, not One-Stop operators. Elected officials

and boards may determine the location of any additional One-Stop offices beyond the existing facilities to the extent resources are available.

Through the local planning process and Memorandum of Understanding, the board may negotiate moving an existing One-Stop facility. Any One-Stop facility must include an IRA to receive a WorkOne charter. Chartering encourages high quality service delivery through a statement of goals, standards, and expected outcomes. The process ensures accountability by establishing a formal relationship between the Workforce Investment Boards (WIBs) and the one-stops.

WIBs will charter one-stop centers. The state will provide criteria as broad guidance for WIBs to use in establishing their levels of expectations. WIBs may "raise the bar" locally. The criteria will be developed in a Malcolm Baldrige framework. The one-stop centers must meet all federal and state criteria for being a one-stop center as a pre-requisite to applying to the board for a charter. Only chartered centers may use the new WorkOne logo.

Additionally, WIBs will charter offices that are less than full one-stop centers to allow them to use the WorkOne Express logo. The logo will identify them as a system affiliate. Express sites may be as simple as providing access to CS3 and other partner services on the internet, but must have an individual on-site who is trained to assist customers with access.

Unified State Plan

The initial five year State plan will include the State plans required under the following resources: Workforce Investment Act Title I adult, youth and dislocated worker; Welfare-to-Work, Wagner-Peyser, veterans programs, Unemployment Insurance; Carl Perkins post secondary and secondary vocational technical education funds, Trade Adjustment Assistance Act, and Vocational Rehabilitation. The plan is a "rolling" five year plan. Each year we will update performance outcomes and add additional State plan requirements of the various partner resources to the greatest extent practicable. The goal is to include as many of the One-Stop partners as possible in a unified state plan for developing Indiana's human capital.

Memoranda of Understanding (MOU)

A board need only negotiate one MOU per partner but may negotiate one per funding stream, if appropriate. A partner is an entity that administers one or more of the required or voluntary resources. For example, DWD may have three offices in an area. Each office manager supervises several One-Stop resources (Wagner-Peyser, Unemployment Insurance, veterans programs, and Trade Adjustment Assistance). The Board need only negotiate a single MOU with DWD. The Workforce Investment Board will outline the needs of the local area, strategic direction, and desired performance for the region. Through the MOUs, the partners will address how they will contribute to desired outcomes and support of the one-stop strategy.

Because of variations in resources and local needs, we do not anticipate that the MOUs or the system will be identical from area to area. MOUs may initially describe current cross-referral and information exchange practices and the process by which the WIB and the partners will continue to work together over the year to improve access and more fully integrate service delivery. Succeeding year MOUs will be expected to show the results of these continuous improvement efforts.

Identity

A workgroup comprised of representatives of the partners selected the name WorkOne as the neutral identifier. Only chartered one-stops may use the WorkOne name. Other sites may use the WorkOne Express logo if they meet lesser chartering criteria established by the WIB.

The chartered One-Stop centers will have a neutral identifier that:

- does not incorporate the name or logo of any single partner.
- allows Hoosiers to easily identify access points to services regardless of where they go in the State.
- permits joint ownership of any current or future partner in the One-Stop system.
- allows for statewide marketing of the system.
- permits customers to identify which offices have been chartered as One-Stops by the Workforce Investment Boards based on both services available and performance.

Individual partner identifiers may continue to be used under conditions to be established by policy.

Training Priorities

Training will be geared toward the economic development needs of the region. Training will be prioritized for occupations in demand in the labor market, or in a labor market to which the trainee is willing to move and has a plan for moving. An occupation in demand includes a job for which there is ordinarily limited demand, but the individual has a bona fide job offer contingent upon completion of training.

Training funded by any partner will build on existing skills first. That is, if an individual may be trained for a good job more quickly and economically by building on existing skills, that will take precedence over training the individual for an entirely new occupation.

Publicly funded training is not an entitlement. Customer choice applies to how and where training is provided. Although the customer's interests will be taken into consideration in developing existing skills, the demands of the labor market and limited training dollars take precedence.

Resource Allocation

WIBs and CEOs will determine youth, adult, and dislocated worker resource allocation within the area as well as determine how to apportion funds among core, intensive, and training services. Allocation of other resources will be as determined through the MOUs.

WIBs and CEOs are expected to distribute resources fairly across the area, taking into consideration the needs of both urban and rural counties. They are also to develop policies to re-allocate resources in the event of under-expenditures, major dislocations, or other unanticipated conditions or events.

B.1.h.

- ii.** *Describe how consultations with local boards and local Chief Elected Officials occurred.*

Please see Section I, Plan Development Process. Consultation was achieved through workgroup participation and multiple opportunities for review and comment via the DWD web site as described in several other places in this document.

B.1.h.

- iii.** *Are there any State policies or requirements that would act as an obstacle to developing a successful statewide workforce investment system?*

Requirements which pose an obstacle to some are seen as an opportunity to others.

An example would be county-based councils established under state law. Step Ahead Councils are comprised of volunteers from the community, with no formal appointment process. Their primary emphasis is child care, but some have extended their scope into workforce issues. Local Planning Councils are appointed by county commissioners to address welfare reform. However, considering the overlap in target populations, many of the councils have also extended their scope into workforce development.

Some workforce investment areas are actively engaged in identifying ways to turn this apparent duplication into a plus. The WIA One-Stop Steering Committee (described elsewhere in the plan) will assist those areas to integrate the functions of the various groups. The Steering Committee will continue to respond to local requests for assistance in overcoming identified obstacles.

- B.2.a.** *Describe current status of One-Stop implementation in State, including action to develop One-Stop statewide integrated service delivery system.*

The State of Indiana has been involved in One-Stop related activities since 1985. Indiana was one of the very first states to merge the state agencies responsible for JTPA and the Employment Service and to collocate and integrate local entities for the JTPA, UI and Wagner-Peyser programs. Subsequently, the Indiana Department of Employment and Training Services was changed to the Indiana Department of Workforce Development

(DWD) when it incorporated Technical Education, Workforce Literacy and School-to-Work into one consolidated agency. This was soon followed by one of the nations first automated single-intake systems for UI and Wagner-Peyser.

The more formal One-Stop activities started in 1995 when Indiana received national One-Stop Planning and Implementation grants. With that funding Indiana targeted three specific infrastructure areas for development: One-Stop Facilities, Electronic Connectivity and Partnership Building. The activities and status in each of these areas discussed below.

One-Stop Facilities

At the time the One-Stop grant was received, Indiana already had 16 centers. Over the three plus years covered by the One-Stop grants, Indiana targeted twenty-seven (27) locations throughout the state for establishing or improving One-Stop Centers. Each location was looked at individually to determine what facility related options were available. In looking at the locations, size, accessibility, and commuting patterns were studied in order to select facilities that not only had the capacity for partnering, but also were within convenient distances of the population centers around the state.

Existing facilities were considered along with new and renovated sites. A few locations were built to our specifications such as the Anderson site that houses DWD, JTPA, Vocational Rehabilitation (VR) and TANF. Other locations were renovations of existing facilities such as, the Fort Wayne building, that also houses DWD, JTPA, VR and TANF.

Sometimes these renovations were major and other times they required only minor changes. An example of a major change is the renovation of the Muncie office that not only restructured the office to accommodate One-Stop workflow, but also upgraded the overall quality of the office to give it a more professional feel and appearance. The Muncie office houses DWD, JTPA, VR, and U.S. Wage and Hour. In Lawrenceburg, less dramatic changes were needed, but upgrades did occur in this facility that houses DWD, JTPA, VR, TANF and Adult **Basic Education**.

Of the twenty-seven locations, all have either located to new/remodeled locations or had their current location upgraded to meet the requirements of a One-Stop Center. Five locations are still pending more radical changes - Columbus (relocation), Evansville (relocation), Hammond (relocation) Shelbyville (relocation) and South Bend (major renovation).

In addition to the renovations, all new One-Stop locations were furnished with the same equipment, staff, training and materials for an Information Resource Area (IRA): as the original 16 centers. These IRAs provide equipment, software and materials for used by customers. The IRAs are staffed with trained personnel to provide support and assistance to the customers. The IRAs are Customer Self-Directed areas where customers help themselves. The IRAs have reading materials on all types of labor exchange subjects, labor market information, video presentations and customer PCs with resume software, printers and Internet access. In addition, the various topics are often addressed on

multiple mediums - print, video, audio and electronic. The IRAs include Zoom Text software, large key caps and other accommodations for individuals with disabilities. See Attachment #2 for a complete listing of IRA equipment and materials.

Electronic Connectivity

Electronic Connectivity consists of three specific levels: Local Area Networks (LANs), Wide Area Networks (WANs) and Application Sharing. LANs have been installed in all twenty-seven of our One-Stop offices. The LANs allow for shared application software/files, printers, e-mail, Internet access and other peripheral devices.

A new high-speed, digital, wide area network was installed to accommodate the new Customer Self Service System (CS3). The WANs not only allow the One-Stops access to CS3's centralized data files and program upgrades, but also allow the One-Stops to have access to older mainframe systems such as Unemployment Insurance Benefit & Tax System and the Financial Accounting and Reporting System (FARS), access to smaller Administrative Office LAN systems, e-mail connectivity to the entire DWD e-mail system and access to the Internet through the high-speed state internet server.

The application sharing portion of this electronic connectivity primarily deals with CS3. A major component of CS3 is a user friendly, single intake system. The current version of CS3 allows customers to enter common data into the system that is used for employment services and unemployment services. This electronically shared data reduces the amount of times the customer has to enter "common data" such as name, address, telephone numbers, and other customer and demographic information.

The CS3 system has the capability to add additional service modules to allow us to add application to other partner services such as training, welfare, vocational rehabilitation, education, and so forth. While this additional expansion has not yet occurred, CS3 provides the framework that will accommodate the expansion once the appropriate partners are ready to move forward. This electronic data sharing allows for strong partnering relationships both within the physical One-Stop Center and in the workforce investment area when it is not feasible or desirable to collocate.

Partnership Building

The final infrastructure item that Indiana has and is dealing with is much more complex and challenging than the creation of physical One-Stop Centers and electronic linkages. It concerns the building of both state and local partnerships. Partnership building includes disruption of long standing "ways of doing business", merging of various "corporate cultures", redefining territorial boundaries and overcoming various corporate and individual personalities. Some of these partnerships are easily attained and others are more challenging.

As stated earlier, JTPA, UI and Wagner-Peyser have been working in partnership for years. With the advent of One-Stop and the Workforce Investment Act, Indiana has taken steps to solidify and strengthen the training, labor exchange and unemployment insurance

partnerships, while also working on new partnerships. The extent of the partnering beyond JTPA, UI and Wagner-Peyser has varied greatly from One-Stop Center to One-Stop Center. However, each of the One-Stops has made significant progress in increasing the amount of partnering in their areas.

Three example offices provides a clearer view of Indiana's status concerning partnership building. The Lawrenceburg One-Stop Center houses all of the DWD programs, JTPA, VR , TANF, Adult Basic Education and the Title V Older Workers program. The office also has very strong ties with secondary and post-secondary education through the office IRA and office counselors.

The Muncie One-Stop Center houses all of the DWD programs, JTPA, Vocational Rehabilitation, U.S. Wage & Hour and the Title V Older Worker program. They have also established strong relationships with the educational entities in the area and referral relationships with TANF and other local entities.

The New Albany One-Stop Center houses all of the DWD programs, the JTPA programs and the Title V Older Worker program. The office also has on-going dialogue with VR and TANF to bring them in as on-site partners or referral partners. New Albany has worked extensively with the educational entities (especially secondary education) in the areas of counseling, assessment and IRA development and usage.

These examples provide a good cross-section of One-Stop partnering in Indiana. While we are very proud of the accomplishments Indiana has made, we also realize that we still have a lot of work to do. Indiana wants to expand and strengthen the existing relationships so that more partners are working through the One-Stop system throughout the state. We also want to strengthen the electronic relationships between the partners with the twin objectives of reducing overhead costs and drastically improving services to our customers. We feel that the infrastructure put in place over the past several years will allow us to move forward in meeting these objectives.

See Attachment #7 for an analysis of each Workforce Investment Area's partner access arrangements. This inventory serves as a baseline measure at the inception of WIA. Continuous improvement will mean ever increasing levels of access.

B.2.b. *Describe the degree of existing collaboration for WIA Title I, the Wagner-Peyser Act, and all other required and optional partners.*

WIA Title I was implemented for adults and dislocated workers on July 1, 1999. The Youth plan of WIA Title I will be implemented on April 1, 2000. There has been considerable collaboration among the various partners and the youth, adult, and dislocated worker programs of WIA.

State Level Collaboration

As described above, agency consolidations over the years have provided an infrastructure for collaboration. DWD includes the Unemployment Insurance Board, UI Review Board, and Workforce Proficiency Panel. Additionally, DWD has been designated as the state agency responsible for Employment Statistics.

The Indiana Department of Workforce Development (DWD) administers:

- Workforce Investment Act
- Welfare-to-Work
- Wagner-Peyser
- Local Veterans Employment Representative/Disabled Veterans Outreach Program
- Trade Adjustment Assistance and NAFTA/TAA
- Unemployment Insurance
- Carl D. Perkins (DWD staffs the Indiana Commission on Vocational and Technical Education, which establishes policy for both secondary and post secondary Perkins)
- Workforce Literacy (state funded)
- School-to-Work
- Indiana Jobs Training Program (state funds for dislocated workers and workers at risk)
- Special Employment and Training Services Fund (established through UI penalty and interest funds to promote training for joint labor and management apprenticeship programs).

The Family and Social Services Administration (FSSA) administers:

- Vocational Rehabilitation
- TANF
- Food Stamps
- Community Services Block Grant
- Child Care Development Fund
- Title V Older Workers
- Other family and social services.

The consolidations have simplified coordination among resources within the agencies, as well as simplified interagency coordination.

A Steering Committee has been formed to oversee the implementation of WIA which includes the heads of the following agencies:

- Department of Workforce Development
- Family and Social Services Administration
- Department of Commerce
- Department of Education
- Commission on Higher Education
- Commission on Community Service
- State Student Assistance Commission
- Housing and Urban Development
- Executive Director of the State Human Resource Investment Council.
- Governor's Executive Assistants for the agencies above.

These agencies were included because of their administrative and oversight responsibilities for required and optional partner resources.

The Steering Committee meets every two weeks. Additionally, the heads of the State Student Assistance Commission, Department of Commerce, Department of Education, Family and Social Services Administration, Department of Workforce Development, and Commission on Higher Education are all ex-officio members of the State Human Resource Investment Council.

Examples of Indiana's long history of state level collaborations include the follow:

- An inventory has been compiled that shows the locations, square footage, cost, number of staff, and lease expiration date for employment services/UI, JTPA, Vocational Rehabilitation, and the Division of Families and Children of FSSA. Any time a lease is close to expiration, the state agencies look for opportunities to collocate. Our one-stop offices currently house several of the required partners under WIA.
- DWD and the Department of Education have had a JTPA 8% Steering Committee since 1993. A joint Request for Applications was recently developed by the committee using funds from JTPA 8%, School-to-Work, and Carl Perkins to enhance alternative education programs. Grant proposals had to be submitted by local collaborations of the Private Industry Council, School-to-Work Partnership, and local school corporation.
- The Department of Commerce (DOC) and DWD frequently collaborate to fund economic development or job retention projects. DWD staff periodically conduct training for DOC staff in workforce development resources.

- DWD and FSSA have had a cooperative agreement for several years to participate in joint initiatives to serve older individuals. The cooperative agreement encourages coordination and cooperation in the operation of the older individual employment and training programs administered by both agencies. Local administrators of JTPA and Title V have been required to enter into the same or similar types of agreements at the local level to ensure the training and placement of older individuals in employment opportunities with private business concerns.
- School-to-Work efforts for youth with disabilities were enhanced through the Indiana Transition Initiative (ITI). The planning and implementation committee for the ITI included members from the Indiana Department of Education, Division of Special Education; the Division of Aging and Rehabilitative Services (Family and Social Services Administration); the Department of Workforce Development, and the Indiana University Institute for the Study of Developmental Disabilities.
- The Indiana Collaboration Project was established in 1994 to coordinate the many programs serving the needs of children and families. The state agencies involved included FSSA, DWD, the Department of Education, Commission for Higher Education, Department of Commerce, Department of Health, and others. A primary facilitator was assigned to each county from among 14 different agencies to work with the relevant entities. Multi-agency teams were developed to provide consultation to the county efforts.
- A state One-Stop Advisory Council was established in 1995 to oversee implementation of Indiana's One-Stop grant. The council included representatives from FSSA, Department of Education, Department of Commerce, Commission for Higher Education, Indiana Private Industry Council Association, Indiana Job Training Administrators, Unity Team, AFSCME, AFL-CIO, and the State Human Resource Investment Council.
- Indiana's School-to-Work grant was developed by an interagency team that included DWD, the Department of Education, FSSA, the Commission on Higher Education, the Professional Standards Board, and State Human Resource Investment Council. An interagency team continues to meet regularly to oversee progress.

The 1999 General Assembly, at the request of the Governor, convened a two-year “Youth Development Study Committee” under the guidance of the Indiana Human Resource Investment Council (SHRIC.) The committee was formed in response to a growing concern in Indiana that the hundreds of programs for youth are fragmented – serving overlapping populations but conducted in isolation of each other. Responsibilities include but are not limited to: conducting and assessing a needs assessment of current youth development programs; developing guidelines for the establishment of

positive youth development programs; and reviewing and making recommendations first to the SHRIC and then to the Governor and General Assembly. The final report from the group, which will include recommendations for youth programs in Indiana, is due November 1, 2001. The report will provide recommendations for how youth programs can be operated in a more efficient and effective manner and ultimately be of more benefit to youth.

Beginning July 1, 2000 the Indiana Commission on Community Services and Volunteerism (ICCSV) will coordinate with DWD. ICCSV oversees community service and volunteer programs in the State. The coordination will reap many benefits for youth including but not limited to ICCSV field staff assisting youth program providers implement “youth leadership development” activities under WIA.

The above initiatives fostered local level collaborations:

Local Collaboration

- In 1985, the state issued a mandate to collocate the employment service with JTPA throughout the state. Joint local plans were required beginning in that year and efforts began immediately to collocate services in every SDA. "One Stop Centers" were piloted in 1990 that included Information Resource Areas (IRAs). (Described above). The IRAs have been expanded and refined every year since and are a required feature in every one-stop. Two counselors staff the IRA in each office. Typically, one counselor is a DWD state merit employee and the other is a local JTPA staff person. Integrated Services Contracts are entered into each year between DWD and the SDAs to allocate costs in the one-stops. Some contracts include "functional supervision" arrangements between the staff of the two entities.
- Depending on the area, additional entities in one-stop centers include vocational rehabilitation, Division of Families and Children of FSSA; Adult and Basic Education, Migrant and Seasonal Farm workers, Title V, McKinley Homeless Act, Consumer Credit Counseling, and others. (See Attachment #7).
- Memoranda of Agreement between JTPA and Title V over the years have included agreements for joint intake, application, and enrollment efforts; joint service strategy development; joint counseling and/or case management; and coordination of other services available through the two programs.
- Indiana state law requires Workforce Partnership Plans be developed and represent all collective and collaborative programs, services and activities and their development among all of the partners in a geographic area. In general, these Workforce Partnership Plans include one or more post secondary four-year institution(s); one or more post secondary institution campus(es); one or more area vocational district(s); a variable number of school corporations; and a variable

number of workforce development offices. Areas must have an approved plan to be eligible for:

- Federal and state vocational and technical education funds.
 - New vocational and technical education program approval from the Indiana State Board of Education for secondary programs and the Indiana Commission for Higher Education for post secondary programs.
 - The program review process of the Indiana Commission for Higher Education for post secondary-level technical education programs.
- Local Planning Councils in each county plan for the self sufficiency of welfare recipients. The councils include representatives of private industry councils, community action programs, township trustees, public education, business, labor, United Way, and others. Members are appointed by the county executive.
 - Step Ahead Councils in each county are primarily concerned with child care issues, but also coordinate planning for more comprehensive family and child services depending on the county. Membership includes representatives of human service providers, schools, parents, Head Start, county health departments, mental health centers, private industry councils, infant and toddler disability programs, child care providers, business, local government, and others.

~~Specific examples of local collaborations are too numerous to mention.~~

Local level coordination for programs for youth is occurring. Coordination may include reading and signing-off on each other's plans or may involve provision of services to joint clients. Such coordination efforts include but is not limited to:

- **joint intake procedures, including application taking, orientation, assessment and enrollment;**
- **joint individual service strategy development;**
- **joint counseling and/or case management;**
- **cross training on each others' programs; and**
- **all funding sources reporting appropriate outcomes according to federal and/or state requirements regardless of which funding source paid for which service.**

Federal mandatory WIA One-Stop partners who may provide services to youth include:

- **WIA Title I Youth**
- **WIA Title I Dislocated Worker**
- **WIA Title I Job Corp**
- **WIA Title I Migrant and Seasonal Farm workers**

- **WIA Title I Veterans**
- **WIA Title I Native Americans**
- **Community Service Block Grant**
- **Housing and Urban Development**
- **Adult Education and Literacy**
- **Post secondary Vocational Education**
- **Vocational Rehabilitation**
- **Wagner-Peyser**
- **Trade Assistance Act and North American Free Trade Act-Trade Assistance Act**
- **Unemployment Insurance**
- **Local Veteran Employment Representative and Disabled Veteran Outreach Program**
- **Welfare-to-Work**

Federal voluntary WIA One-Stop partners who may provide services to youth include:

- **Transitional Assistance for Needy Families (TANF)**
- **Food Stamp Employment & Training and Food Stamp Workforce**
- **Local Planning Councils**
- **National and Community Service**
- **School-to-Work**
- **Secondary Vocational Education**

State voluntary WIA One-Stop partners who may provide services to youth include:

- **Step Ahead Councils**
- **Child Care Development Block Grants**
- **21st Century Scholars**
- **State Training Resources**

If One-Stop members, the entities listed above entered into a Memorandum of Understanding with the Workforce Investment Board indicating the services to be provided through the One-Stop system, the funding of the services and the operating costs of the system, and methods of referring individuals between the One-Stop operator and the partners. Also, if One-Stop members, the entities listed above serve as voting members of the Workforce Investment Board. The Board, in conjunction with the local elected officials, develops and submits the local workforce investment plan, selects the local One-Stop operator and youth providers, and identifies local providers of intensive and training services, conducts oversight of programs, and negotiates local performance measures.

Other youth activities are administered by other State agencies such the Department of Corrections, Juvenile Justice Division and Department of Education,

Alternative Education. Also, other youth activities are administered by community based organizations and for-profit agencies. Coordination and collaboration occurs as described above. The Youth Development Council and local Youth Councils will each be conducting “community resource mapping” in their respective areas. It will be the responsibility of the state-level council and each local Youth Council to identify all youth providers in the area and recommend ways in which to coordinate services to meet the needs of youth.

B.3. System Infrastructure

B.3.a. Local Workforce Investment Areas

B.3.a.

i.

Identify the State's designated local workforce investment areas, including those that were automatically designated and those receiving temporary designations. How do these areas compare in size and number with Service Delivery Areas under JTPA?

B.3.a.

ii.

Include a description of the process used to designate such areas. Describe how the state considered the extent to which such local areas are consistent with labor market areas; geographic areas served by local and intermediate educational agencies, post-secondary institutions and area vocational schools; and all other criteria identified in Section 116(a)(1) in establishing area boundaries to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation requests pursuant to section 116(a)(4).

Indiana had 16 service delivery areas under JTPA. There will be 16 Workforce Investment Areas under WIA that follow the same boundaries. However, there will be 12 workforce investment planning regions that will guide required regional planning between Workforce Investment Boards. Maps of both the Workforce Investment Areas and workforce investment planning regions may be found in Attachment #8.

Background

Over the years, there have been many discussions about the lack of consistency in service regions among Indiana's public agencies and programs. This issue has been identified as one of the barriers to creating a truly integrated workforce investment system for Hoosier workers and their families.

In 1997, Lt. Governor Joe Kernan established a Jobs Council comprised of economic development professionals, elected officials, and business men and women to inventory all the state's economic development tools. Subcommittees for jobs creation, jobs retention, and welfare-to-work were included. The Council recommended that the state "define a single set of state regions for all workforce related funding and programs."

Also in 1997, a two-year study committee was created by the state legislature to identify the multiple sources and amounts of federal, state, and local funds that are used for workforce development activities, multiple entities involved in the administration of funds at the state and local levels, and make recommendations on how best to coordinate overlapping funding sources and activities. In response to the study committee, a series of meetings was held among the leadership of the Department of Workforce Development,

Family and Social Services Administration, Department of Commerce, and Department of Education.

The agencies released a document in the spring of 1998 called "Regional Workforce Board Parameters and Guidelines". It provided a framework for local elected officials to voluntarily establish regional boards with broad authority for workforce programs. One of the stated goals of the guidelines was the "establishment of common regional boundaries based on labor market realities."

To help determine what those regions should be, the Labor Market Information unit of DWD collected the sub-state maps for JTPA; Small Business Development; Economic Development; Community Development; Vocational Rehabilitation; Adult and Basic Education; Regional Planning Commissions; Ivy Tech State College (Indiana has no community college system); School-to-Work, Workforce Partnership, and Tech Prep regions; and Welfare Local Planning Councils and Step Ahead Councils, and overlaid these with metropolitan statistical areas and commuting pattern maps. A draft map was created with input from Indiana Economic Development Council, State Human Resource Investment Council, and the affected state agencies.

The draft map was issued on November 5, 1998 to:

- 108 County Commissioners; 87 mayors;
- State Human Resource Investment Council;
- state agency heads;
- Private Industry Council chairs and their staff;
- School-to-Work contacts;
- Indiana Association of Cities and Towns,
- Association of Indiana Counties;
- Indiana Association of Regional Planning Councils;
- Indiana Economic Development Association;
- Indiana Association of Area Vocational Districts;
- Indiana Manufacturer's Association;
- State Chamber of Commerce;
- Indiana Association of School Superintendents;
- AFSCME;
- State AFL-CIO; and
- Presidents of the state post secondary institutions.

Comments were collected and discussed by representatives of the DWD, State Human Resource Investment Council, and Indiana Economic Development Council to arrive at a final regional planning map that is indeed based on "labor market realities."

In the interim, DWD staff compared WIA area designation requirements with population and performance history of SDAs under JTPA:

- Only one SDA was under 200,000 population: Western Indiana has 199,461.

- Only one area is a single unit of local government with a population in excess of 500,000: Marion County.
- All sixteen SDAs met the criteria for financial integrity.
- The following SDAs met the performance criteria required for automatic designation as a workforce investment area: Circle Seven, East Central, Kankakee Valley, Marion County, Northern, Northwest, South Central, Southeastern, Tecumseh, and Western.
- The following SDAs did not meet the performance criteria required for automatic designation as a workforce investment area: Hoosier Falls, Madison-Grant, North Central, Northeast, Shawnee Trace, and Southwest.

On November 25, 1998, Governor O'Bannon sent to each of the 16 Chief Elected Officials instructions for requesting Workforce Investment Area designation. The request had to be signed by elected officials representing at least 51% of the population of the proposed area.

All requests received by the State followed the same boundaries as the current SDAs, regardless of population or performance. Pursuant to the wishes of the elected officials, the state elected to grant temporary area designation to all areas for WIA purposes. However, the regional planning map will guide regional planning for the state's broader workforce investment objectives. The planning regions will be used to the extent possible to restructure administrative boundaries in the event an area fails to meet performance for two years under WIA.

The time-line under the Plan Development Process shows how the State Human Resource Investment Council was involved in the process of designating the local workforce investment areas. The council chair and executive director were participants in the meeting held in November, 1998. The map and rationale were presented to the SHRIC at their December meeting for comment. As indicated in this plan, the State Human Resource Investment Council will be Indiana's State Workforce Investment Board.

B.3.a.

iii. *Describe the appeals process used by the State to hear appeals of local area designations. If any appeals were made, identify them and indicate the status of the appeal.*

iv.

All requests from local elected officials were honored, so no appeals were made. The following describes the appeals process.

According to the Workforce Investment Act (WIA) 116(a)(5), a unit of general local government (including a combination of such units) or grant recipient that requests, but is

not granted, automatic or temporary and subsequent designation as a local workforce investment area may submit an appeal to the State Board under an appeals process established in the State plan.

Indiana Appeals Process

- A. The unit of general local government or grant recipient has thirty (30) days from the mailing of a notice of denial of automatic designation under WIA 116(a)(2) or of temporary and subsequent designation under 116(a)(3) to appeal the decision and request a hearing.
- B. The appeal must be in writing and state the reasons the entity should receive the designation denied by the State Workforce Investment Board.
- C. The appeal must be sent by certified mail, return receipt requested.
- D. Failure to submit the appeal within (30) days from the mailing of the notice of denial shall result in termination of the entity's right to appeal the State Board's determination.

Procedural Rules for Hearings

- A. Hearing Office:
Hearings will be conducted by either a DWD staff attorney serving as an Administrative Law Judge (ALJ) or by another attorney licensed in the State of Indiana who has been contracted by DWD to conduct such hearings.
- B. Scheduling:
Within ten (10) days of receipt of the appeal, the Legal Department of DWD shall contact the appellant (appealing party) to set a hearing date which is acceptable to both parties. Once the hearing date is set, it will not be rescheduled without a showing of good cause.
- C. Discovery:
The parties shall engage in informal rehearing discovery for the purpose of exchanging relevant information, and avoiding unnecessary delays in the proceedings. The ALJ shall have the discretion to resolve any rehearing discovery disputes.
- D. Exchange of Witness and Exhibit Lists:
The parties shall exchange witness and exhibit lists at least twenty (20) days before the scheduled hearing.
- E. Voluntary Withdrawal of Appeal:
The appellant may voluntarily withdraw the appeal upon written notice to the ALJ.
- F. Involuntary Withdrawal of Appeal:
Upon notice to the appellant, the State board may submit a motion for involuntary

withdrawal of appeal upon the appellant's failure to timely pursue its appeal. The ALJ shall rule upon such a motion upon twenty (20) days of receipt.

G. Representation:

Appellant may be represented, at its own expense and without the use of federal or State funds, by counsel or, unless prohibited by law, by another representative.

H. Witnesses and Evidence:

Both parties will have the opportunity to present evidence and witnesses and to cross-examine witnesses at the hearing. Evidence and witnesses will be limited to only those issues specified in appellant's request for hearing.

I. General Procedures:

Area designation hearings shall be conducted informally. Formal rules of evidence shall not apply. The ALJ has the discretion to exclude evidence that he/she determines is immaterial or redundant.

J. Conduct of Hearing:

The parties may make opening statements to advise the ALJ concerning the issues and to summarize the evidence to be presented. The parties are responsible for furnishing all information relevant and available to resolve the issues during the presentation of the case. The ALJ may elicit any testimony and information that may be necessary to discover the truth and to arrive at a fair decision. In examination of the witnesses, the party calling the witness is entitled to conduct initial questioning. Witnesses are subject to cross-examination by the other party and by the ALJ.

K. Transcript:

The proceedings shall be memorialized by a court reporter, the expense for which shall be borne by the appellant without the use of state or federal funds.

L. Close of Record:

All evidence must be submitted and argued, and the record must be closed, no later than fourteen (14) days following the first day of the hearing.

M. Final Decision:

The ALJ shall submit to the parties a written decision not later than thirty (30) days from the close of record date. This time frame may be extended for good cause, only with consent of both parties. The decision shall be comprised of findings of fact and conclusions of law that are based upon the application of relevant law to the facts. The ALJ's written decision shall constitute final state action.

Appeal of ALJ Decision

1. In accordance with 116(a)(5) and 20 CFR 667.640, a unit or combination of units of general local government whose appeal has not resulted in designation as a local workforce investment area may appeal the denial to the United States Secretary of Labor.
2. Such appeals must be filed not later than 30 days after receipt of written notification of the denial from the State Board, and must be submitted by certified mail, return receipt requested, to the Secretary, U.S. Department of Labor, Washington, D.C. 20210, Attention: ASET. A copy of the appeal must be simultaneously provide to the State Board.
3. The appellant must establish that it was not accorded procedural rights under the appeal process set forth in the state plan, or establish that it meets the requirements for designation in WIA 116(a)(2) or (a)(3). The Secretary may consider any comments submitted in response by the State Board.
4. If the Secretary determines that the appellant has met its burden of establishing that it was not accorded procedural rights under the appeal process set forth above, or that it meets the requirements for designation in WIA 116(a)(2) or (a)(3), the Secretary may require that the area be designated as a local workforce investment area.
5. The Secretary must issue a written decision to the Governor and the appellant.

B.3.b. Regional Planning

B.3.b.

- i. *Describe any intrastate or interstate regions and their corresponding performance measures.*
- ii. **B.3.b.**
- ii. *Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing and/or coordination activities) that will occur to help improve performance.*

Indiana is not one economy, but several unique regional economies. One of Governor O'Bannon's priorities for workforce and economic development is development of these regional economies. The "State Readiness Analysis-System Infrastructure (3)(c)(ii) Local Workforce Investment Areas" section of this state plan describes the process by which the twelve regional economies were identified.

Although there are 16 Workforce Investment Areas for administrative purposes, there are only 12 planning regions. Other state systems may be aligned with these 12 regions. We see the areas as only an administrative convenience for allocations, oversight, and federal performance measurement. Planning regions, however, are how Indiana will determine whether its state goals are being met for broad economic and workforce development.

Indiana has taken an innovative approach to local plan development for the one-stop system which recognizes both the importance of regional planning as well as the sovereignty of the Workforce Investment Areas. Areas that share a region will submit only one plan, which will contain sections concerning solely the individual areas, but also sections that pertain to regional issues. Joint submission will enable the area planners to review and utilize each others' labor market information, available resources, projected employment opportunities and skill needs, and leadership strategies. In the plan, the areas describe how they will coordinate provision of one-stop services, including transportation and other supportive services, so services are accessible across local area boundaries.

Regional planning will result in bench-marking broad performance measures that go beyond WIA youth, adult, and dislocated worker outcomes. Progress will be measured in terms of the increase in average value added per wage dollar in manufacturing; increase in employee wages; increase in private sector investments in the incumbent workforce; increase in the number of individuals with post secondary attainment, Certificates of Technical Achievement, and other recognized certifications; and other measures. Technical assistance is available to the boards to facilitate joint strategic planning. Establishing regional measures and achieving progress may make the boards eligible for additional state resources and/or incentive awards.

B.3.c.

i. Selection of Service Providers for Individual Training Accounts.

Identify policies and procedures your State established for determining the initial eligibility of local level training providers, how performance information will be used to determine continuing eligibility (including a grievance procedure for providers denied eligibility), and the agency responsible for carrying out these activities.

The State of Indiana issued a "Policy for Determining Eligible Training Providers under Provisions of the Workforce Investment Act". **Through DWD Communication #99-65. (See Attachment #3).** This policy includes both policies and procedures for determining initial, subsequent, and continued eligibility, and an appeal process for training providers when a training program has been determined ineligible.

The State identified DWD as the agency responsible for coordinating the training provider eligibility process and for ensuring that the approved training provider list is compiled and published. This includes monitoring the local Board processes for compiling local training provider data and for the establishment of an Appeal process.

This policy is included in the State Plan as Attachment 3.

B.3.c.

ii. Describe how the State solicited recommendations from local Boards and training

service providers and interested members of the public, including representatives of business and labor organizations in the development of these policies and procedures.

To gather wide-ranging input from interested parties, the State facilitated workgroup meetings to make policy recommendations on determining eligible training providers. These sessions included representatives from labor, current JTPA administrative entities, private and public education entities, community-based organizations and various One-Stop partner agencies.

Also, participation was open to the general public. Information on the plans to hold these sessions was posted to DWD's homepage, and various electronic and more traditional methods of volunteering for the workgroup were used. All volunteers were invited to the meetings and were sent notes/minutes from the meetings.

Two all-day meetings and a two-hour session were held to collect recommendations on training providers and training programs. Input was summarized and posted to DWD's homepage (also distributed to all workgroup members) with the opportunity for all interested parties to comment via e-mail, a bulletin board, and more traditional methods. Input from all parties was considered in writing DWD's first draft Policy for "Determining Eligible Training Providers". The draft was also posted to DWD's homepage for additional comments. (See above).

The State was, and continues to be, very open and active in soliciting input on this policy and the related procedures. Virtually all parties at local, state and even national levels had the opportunity to participate fully in development of the policy.

B.3.c.

iii. *How will the State maintain the provider list?*

Initially the eligible training provider list will be maintained as a spreadsheet that is periodically updated and published in both a paper format and on the Agency's Web page. The frequency of the updates will be dependent on the amount of maintenance activity that occurs. We plan on republishing as needed, but not less than monthly.

Maintenance to the eligible training provider list will fall within one of two broad maintenance categories a) changes and b) annual renewal. Each are briefly covered below.

Under our current manual system all changes, except those of a clerical nature must be initiated by the training provider and processed through the appropriate WIB to the State. If clerical errors were made by the State during the data entry, the change does not need to be initiated by the training provider. Correction of these clerical errors may be initiated by the State.

Indiana is in the process of developing an automated Consumer Reporting System (CRS). Implementation is scheduled for March 2000. The eligible training provider list will be a product

of the CRS. All entry and change activity will be the responsibility of the training provider. The WIB and State will be responsible for reviewing and approving the training program both initially and after changes have been made.

The State will be responsible for initiating notices to existing training providers to notify them of the need to renew training program data. If the training providers do not update their training program data, the program will be inactivated and will not appear on the eligible training provider list. The training provider will receive a second notice advising them of the removal and reminding them that they can still renew the application.

B.3.c.

iv. *What performance data will be available at every One-Stop center?*

Training providers will be required to furnish the local Boards with the following information on each training program for which they make application for initial eligibility as a training provider.

For all Training Participants:

- Program Completion rates.
- Percentage of participants that obtain unsubsidized employment.
- Percentage of participants that obtain unsubsidized employment in a related occupation.
- The wages at placement in employment.

If the training program is new at the time of application, the local Board with the approval of the state may waive these data requirements.

On an annual basis, the training providers must file renewal applications to continue as an approved training provider. They will have to provide updated information on the items listed above and at that time they must also supply performance data on their training participants who received WIA assistance. These additional data are listed below.

For all Training Participants who receive WIA assistance:

- Percentage of participants that completed the program and obtain unsubsidized employment.
- The retention rate in unsubsidized employment for participants who have completed the training program, six months after the first day of employment.
- The wages six months after the first day of employment.
- The rate of licensure or certification, or attainment of academic degrees or equivalents, or attainment of other measures of skills, of the graduates.

The State plans to make all performance data collected through the training provider application process available to WIA-job seekers assessed as needing training services.

As a long range strategy, the State will have consumer information on educational and

training programs available on all programs, not just those in demand or likely to be used by WIA participants. This long-range strategy will provide performance data on all training and educational programs to all educational/training consumers, not just the WIA participants.

After WIA performance data becomes available following the first full year of implementation, each One-Stop center will also post the area's WIA performance compared to all other areas in the state in a visible location in the One-Stop center.

B.3.c.

- v.** *Describe the State's current capacity to provide customers access to the statewide list of eligible training providers and their performance information.*

The State currently provides the statewide list of eligible training providers through a paper listing that is available in all of our One-Stop Centers and through a PDF (Portable Document Format) document **on our web-site home page located at <dwd.state.in.us/policy>.**

Indiana has recently completed the requirements definition and system design for an Internet-based consumer reporting system that will allow electronic entry of training programs by providers, a review process for both the local Workforce Investment Boards and the State, and search, view and comparison capabilities for the general public. This system will replace the paper listing currently being used, but a similar listing will be available through the new system to augment the automated system. A vendor will be selected for development and implementation of the system. The target for implementing the system is March 2000.

B.3.c.

- vi.** *Describe the process for removing providers from the list.*

There are four specific situations that can result in the removal of a training provider from the list of eligible training providers -- Expiration of Eligibility Period, Nonperformance, Inaccurate Information, and Noncompliance. Each situation is described below.

Expiration of Eligibility Period -- At the time of application approved training providers will be given an expiration date. To remain on the list after the expiration date will require the training provider to reapply (subsequent eligibility determination). If the training provider does not reapply, it will be removed from the training provider list. Removal from the list under this condition will be performed by the State as a maintenance activity. A notice will not be sent to the training provider since this is a normal expiration process.

Nonperformance -- If the training provider does not meet the performance standards established by the state, the training provider will be removed from the list. The local WIBs, based on state performance standards and performance data submitted by the

training provider, would usually make this decision. This will be determined at the time of application and re-application. The training provider will be issued a notice informing them of their removal and the reason for the removal. The notice will be an appealable document.

Inaccurate Information -- If it is determined that the training provider intentionally supplied inaccurate information for the purpose of becoming an approved trainer, the training provider will be removed from the list. The Oversight Division of DWD will make the determination that a training provider intentionally supplied inaccurate information. The training provider will be issued a notice informing them of their removal and the reason for the removal. The notice will be an appealable document.

Noncompliance -- If it is determined that the training provider substantially violates any requirement under the Workforce Investment Act, the training provider will be removed from the list. The Oversight Division of DWD will make the determination that a training provider substantially violated a requirement of the Workforce Investment Act. The training provider will be issued a notice informing them of their removal and the reason for the removal. The notice will be an appealable document.

B.3.d. *What is your State's current capacity to deliver high quality employment statistics information to customers--both job seekers and employers--of the One-Stop system? Your response should address the products that have been developed as part of America's Labor Market Information System, the Bureau of Labor Statistics Federal-State cooperative statistical programs, and other State-generated employment statistics.*

The Department of Workforce Development provides a variety of venues for obtaining employment statistics. The Department maintains its own home page within Access Indiana the State's main web site, and Labor Market Information (LMI) can be accessed from the site. LMI's menu offers easy access to labor force, industry, occupation, and related demographic information. The LMI Section maintains an automated fax retrieval system, INFOFAX, which provides immediate access simply by ordering documents from a telephone.

Local Labor Market Analysts are strategically located in nine metropolitan areas around Indiana and are capable of fielding requests from customers. Local analysts provide one-on-one technical support for data requests and are capable of producing customized reports per customers' requests. LMI publications are also available by mail and can be found in local office IRAs.

LMI products, developed in conjunction with Americas Labor Market Information System (ALMIS), provide some of the more useful information of primary interest to customers. These products include long and short-term industry and occupational projections, occupational employment and wage data, and labor market supply and demand information. Information is provided for Statewide Indiana as well as prominent substate

areas including Metropolitan Statistical Areas and the Workforce Investment Regions. The backbone of information provided includes labor force statistics and industry employment from both the Current Employment Statistics program and the Employment and Wage ES-202 program.

DWD-LMI goes beyond basic data sets to provide labor economic descriptions of local labor markets. The County Highlight series provides a quick overview of the employment situation for each of Indiana's 92 counties and includes a ten-year time series analysis of employment trends. The local labor market analysts compile monthly labor market letters and other material that describe ongoing employment changes affecting local labor markets. Local analysts also compile information describing available local employment and the marketable attributes of available applicants to assist job seekers looking for work and employers seeking applicants. Affirmative Action information is provided as a service to employers for completing their EEO profiles.

DWD-LMI is continuously seeking ways to improve and expand employment data to better inform customers regarding employment conditions. The LMI web site is currently in the early planning phase for a complete overhaul that will enable customers to obtain more information and obtain it in a format compatible with the customer's own database. The enhanced web site will make use of the ALMIS Database, currently being developed, and will also include many other related labor economic items such as educational consumer reports and information regarding Indiana occupational licensing requirements.

B.3.e. *Describe how the work test and feedback requirements (under 7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met. How is information provided to the UI agency regarding claimant registration, claimant job referrals, and the results of referrals?*

Indiana does not have a "UI agency." UI is administered by the Department of Workforce Development staff, funded by UI, through the One-Stop system.

Indiana requires all claimants to engage in an active work search for each week of benefits claimed, unless specifically granted a work search waiver. Waivers are granted for claimants who demonstrate specific job attachment, hold active membership in a union hiring hall, or are in enrolled in approved training. All other claimants are required to register for work with the One-Stop system within four weeks of initial claims filing. UI benefits may be put on hold when the claimant fails to register by the end of the four-week period. Claimants are notified of the potential hold that may be placed on their UI benefits and advised to register for work in a timely manner.

Utilization of the Customer Self-Service System (CS3) ensures timely work registration for new claimants because CS3 electronically links work registrations with claims for unemployment benefits. Due to this linkage, CS3 has become an effective tool in reducing the number of unregistered claimants.

Reports are generated that notify One-Stop staff of all applicants failing to register for work within the established time period. In addition, generated reports notify staff daily of claimants who are placed in employment, fail to respond to call-ins, refuse referrals to suitable work, fail to report for scheduled interviews, and refuse offers of suitable work. One-Stop staff use these reports to advise claimants of the need to register for work and of potential issues on their claims. Fact finding is initiated based on the automated report to detect potential unemployment issues and barriers to work.

Claimants who use CS3 to refer themselves directly to available job openings will not be sanctioned unless they fail to contact the employers about available, suitable work. This information is available through a CS3 generated report.

B.3.f. *Describe how the Wagner-Peyser staff participate in the conduct of the Eligibility Review Program reviews. Describe the follow-up that occurs to ensure that UI eligibility issues are resolved in accordance with section 5(b)(2) of the Wagner-Peyser Act.*

An important aspect of the workforce development system is to minimize UI payments by moving unemployed workers quickly back into the workforce, into a position that is consistent with their skills and experience. Using reports available through the CS3, One-Stop staff will be able to identify, through scheduled interviews or random selection of non-job attached claimants, individuals who have not returned to work in a reasonable period of time.

One-Stop staff will perform in-depth reviews of the selected claimants' CS3 applications, on an item by item basis, with an emphasis on correcting any inconsistencies with the applications that may restrict the ability of the claimants to match with job orders. Barriers that may make it more difficult for the claimants to secure suitable employment will be identified, reviewed with the claimant, and remedies proposed.

The remedies may include, but are not limited to, adjustment of skill sets (which is the matching criteria of the CS3), preferences (e.g., hours of work, locations available, and wage expectations), employment counseling, labor market information, and possible referral to support agencies or training. One-Stop staff will plan a follow-up either through a case-management system or by entering a future scheduled interview date in the UI system. Potential eligibility issues that may be uncovered during this process will be referred immediately for proper adjudication.

C. Assessment of Strengths and Improvement Opportunities

- C.1.** *In sum, how closely aligned is your current system to your vision? Assess your current system's ability to meet the customer and economic needs identified above. What are your key strengths? What weaknesses will you need to address to move forward? Describe any opportunities or challenges to achieving your vision, including economic development, legislative, or reorganization initiatives anticipated that could impact on the performance and effectiveness of your state's workforce investment system.*
- C.2.** *In moving your current system towards your vision, what are your State's priorities?*

The State's assessment also included an analysis of the One-Stop system. The first paragraph in the plan under C.1. Identifies our strengths as including our long history of collocation, joint and cross education, information sharing, and cost sharing; the implementation of the Customer Self-Service System (CS3); Information Resource Areas (IRAs) within each One-Stop; and the fact that universal access has always been a feature of all our One-Stops. The attachments to the plan also included a baseline analysis of the participation of the required partners in all the current offices of the system. The One-Stop centers are clearly identified in the attachment. In general, youth programs will be enhanced and expanded over a 5 year period so young people will have the resources and skills they need to achieve and maintain self sufficiency.

Challenges faced for the development of the future workforce in Indiana are outlined in Section II.A. (Pages 14-15) of the State Plan.

The 1999 Indiana General Assembly established an Indiana Youth Development Charter Committee under the State Human Resource Investment Council (SHRIC -- WIA State Council). The Youth Development Charter Committee will:

- 1) review and make recommendations to the SHRIC and then the Governor and legislative council regarding any unmet need for youth development programs;
- 2) consider problems affecting youth and recommend solutions or approaches to the problems to State and local government officials;
- 3) conduct an asset and needs assessment of current youth development programs, including governmental programs that promote positive development;
- 4) provide opportunities for youth involvement in the work performed by the committee;
- 5) develop guidelines for the establishment of positive youth development programs based on a consideration of the following:
 - (a) individual and community capacity for change;

- (b) community structures and resources that enhance supports of and opportunities for youth development;
 - (c) barriers to accessing supports and opportunities for youth;
 - (d) outcomes of current youth development programs regarding youth as:
 - (i) individuals; and
 - (ii) members of their communities;
- 6) promote youth development activities that ensure that youth thrive and become competent, useful, and empowered and develop a sense of belonging; and
- 7) be diverse in representation.

The State Plan also identified weaknesses of the system as including the system's ability to move to a "work first" environment; maintaining investment in training rather than losing funds to universal core services support; inexperience in dealing with incumbent workers; the mismatch in planning and operational boundaries; development of system-wide outcome measures; and broadening the role of the WIBs.

Our vision for the system includes common outcome measures across programs; increasing skill credentials; upgrading the skills of employed individuals; and aligning planning regions among multiple "systems" and programs. Progress in the development of the future workforce (i.e. includes Indiana's priorities for youth) will be measured as outlined in Section II.A. (page 14) of the State Plan.

IV. Strategies

A. Leadership

How will you overcome challenges to align your current system with your vision?

How will the State implement WIA's key principles of local flexibility and a strong role for local Boards and for businesses? In your discussion, you must address the following required elements:

- A.1.** *Describe the steps the State will take to improve operational collaboration of the Workforce investment activities and other related activities and programs outlined in section 112(b)(8)(A), at both the state and local level (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.) How will the State Board and Agencies eliminate any existing State-level barriers to coordination?*

The State of Indiana has been engaging in collocation and collaboration between local employment and training programs since 1985. WIA will help us continue this effort by bringing more partners into the system and requiring that the core services of each partner be made available through the system.

As mentioned in many other parts of the plan, our Wagner-Peyser and JTPA services were collocated locally beginning in 1985 and functionally merged at the state level that same year. Since the beginning of our One-Stop grant in 1995, the SDAs and DWD have actively sought to collocate with other employment and training services. Please see Attachment #7 for a complete listing.

We are also encouraging joint case conferencing in the One-Stop system. Two offices of the state recently piloted two different joint approaches for Wagner-Peyser, Vocational Rehabilitation, JTPA and TANF to triage the clients and address the needs of individuals who come into the system. One workforce investment area is proposing that no agency will have an independent job development function. Rather, a team staffed by DWD, Vocational Rehabilitation, WIA staff, and IVY Tech will do job development together.

Aside from the local Workforce Investment Board, MOUs are a primary vehicle to define and encourage local collaboration. We are requiring that local MOUs will identify how partner services will be available through the One-Stop system. We are also requiring local partners to describe how individuals will be referred between partners. It is our preference as a state that these referrals be of high value to the client so they may get the services they need as quickly as possible. A high value referral would be immediate on-site access to the services of the appropriate partner. A low value referral would be a brochure or directions to another office.

The State Human Resource Investment Council, which serves as our SWIB, will take the

lead in defining strategies for our One-Stop workforce investment system. We have also created a WIA Steering Committee (which is described elsewhere in the plan) made up of state level administrators of WIA One-Stop partners and members of the Governor's staff. Significantly, the committee has developed an MOU for its membership to promote cross-education of state and local staff, coordination of local resources, common evaluation of performance, and the development of systems of common intake.

Operational collaboration will be significantly improved when CS3 is made available to all partners and the public via the internet. We will be working together to make more of our systems and data accessible between partners.

A.2. *Describe how the State will assist local areas in the evolution of existing local One-Stop delivery systems. Include any statewide requirements for One-Stop system, how the State will help local areas identify areas needing improvements, how technical assistance will be provided, and the availability of state funding for One-Stop development.*

Basic Principles for One-Stop system design are in Attachment #9.

The DWD Evaluation Unit and the Lifelong Learning Institute's Regional Training and Support Unit are teaming up to conduct Quality Reviews of the state's current One-Stops (the Workforce Development Centers). Feedback from these reviews will be used by DWD Field Operations and Program Development Division to work with the field to make necessary changes and improvements. It will also be used by the Lifelong Learning Institute in developing training and information sharing sessions relevant to WIA and One-Stop. As the WIA One-Stop system develops and evolves, these reviews will focus on the additional partners and One-Stop customer service guidelines.

Three key areas where the Lifelong Learning Institute will look to expand are:

- Providing joint training and capacity building opportunities with WIA partners.
- Continuous improvement training.
- Assisting in developing forums of WIA partners, One-Stop Operators, and others (to facilitate coordination, joint implementation strategies, performance expectations, and so forth).

For One-Stop development, Indiana committed the following from State funds for PY 99:

- \$615,000 to increase the number of counselors in the One-Stop centers. The funds are contracted to WIBs.
- \$400,000 to expand the capacity to perform UI profiling at the One-Stops.
- \$250,000 to provide additional capacity for rapid response. These funds are currently contracted to the State AFL-CIO, which is required to coordinate with State and local rapid response coordinators.

A.3. *How will your State build the capacity of local Boards and youth councils to develop and manage effective programs?*

DWD's Field Operations and Program Support Division and the Lifelong Learning Institute will work together to develop information sharing forums and training opportunities for local Boards and Youth Councils.

DWD will work closely with the Association of Workforce Investment Boards, and seek their input on capacity building needs and training/technical assistance that is provided. The Steering Committee of the Lifelong Learning Institute includes current Board staff.

Under JTPA, Indiana has had a successful Youth Forum which meets regularly. Under WIA this concept will be continued.

A.4. *Describe how any waivers or workflex authority (either existing or planned) will assist the state in developing its workforce investment system.*

Indiana will seek a waiver to administrative cost limitations to ease the establishment of independent board staff. Additional waivers may be sought as needs are identified.

B. Services *How will you meet the needs of each of the major customer groups identified in Section III? How will the State implement WIA's key principles of streamlined services, empowered individuals, universal access and improved youth services?*

Meeting the needs of customer groups:

One of the best innovations of WIA is how it increases the capacity of local One-Stop systems to serve a broad range of customers. This capacity derives from the expanded partner base in the WIA One-Stop. Indiana's One-Stop workforce investment system will meet the needs of its major customer groups by maximizing the use of One-Stop partner resources. We will take advantage of the strengths of each of the One-Stop partners to provide appropriate core services to the individual client.

While our One-Stop system has already made progress in serving these groups, the One-Stop system under WIA will help us serve them better and more comprehensively. For example, while all of our offices are in compliance with the Americans with Disabilities Act (ADA), an enhanced relationship with Vocational Rehabilitation services will make sure that our services are as appropriate for people with disabilities as our buildings are accessible.

Likewise, services will be better provided to older Americans when delivered in partnership with Title V organizations. The addition of One-Stop partners who provide services to specific groups will ensure advocacy for appropriate core services in the one-

stop centers for every customer group from each One-Stop partner.

The results of services to our customers will be tracked in our performance management system and reported in our annual report.

As described throughout this plan our initiative in School-to-Work, certificates of Technical Achievement, Work Keys, and incumbent worker training will address specific needs of our major customer groups. The IRA, improved labor market information and consumer report will also address the need outlined in Section III.

Implementation of the key principles of WIA:

The State and local areas will implement the key principles of WIA by using the authority within WIA to further advance many initiatives that we have already been implementing. Collocation has been happening all over the state since 1985. To move beyond collocation and toward blended services, we are working with our state TANF agency in two locations on a shared application and case management process. We will expand this process to other partners and in more locations around the state.

CS3 will be a common job placement tool used across all systems. Currently it is available only in DWD workforce development centers. But in the future we will make it available to all partners and all locations. This will allow customers and employees to use the same high-quality tool regardless of where they enter the system or where they work. In the immediate future, employers will be able to enter job orders and search for matches from their own offices via the internet. Eventually, CS3 will be available to anyone from anywhere via the internet.

Individuals will be empowered by the use of CS3, the enhanced availability of core services, the use of individual training accounts (ITAs), and the individual resource areas (IRAs) in the one-stop centers.

- CS3 is designed to be used without staff assistance. We will encourage all individuals with sufficient ability to do so. As noted above, we will make CS3 available virtually everywhere.
- Core services will be available to more people as the core services of the One-Stop partners are brought into the One-Stop system. Customers with targeted characteristics or needs will be served more appropriately with specific partner resources.
- The IRA provides a core service--but deserves special mention. IRAs are available to anyone wishing to research a career, or access highly usable labor market information. All IRAs are staffed so that customers receive full benefit of its resources regardless of their skill level or handicap.

- Individual Training Accounts (ITAs) will allow customers to choose training that best meets their needs and achieves their desired outcomes. Please see our ITA policy in Attachment #3.

All One-Stop partners will make their services accessible through the One-Stop system. Criteria for determining "access" will be established at the local level in consideration of both the local area resources and the needs of the individual. Level of access may be affected by geography, number of staff in the region, and available resources, and therefore may even vary from One-Stop center to another within the same region. It is important that the unique needs of the individual be considered as well.

An informational brochure about adult education may not provide sufficient access for someone who is illiterate; a computer linkage may not provide sufficient access to vocational rehabilitation for someone who is blind. Local areas should consider multiple ways to provide access to each service or program. The Memorandum of Understanding (MOU) between the Workforce Investment Board (WIB) and the partners will describe how services will be made available and coordinated. MOUs will be living documents that can be amended at any time, as partners locally work toward increasing levels of service integration.

Core services are available to all individuals. Previously, only Wagner-Peyser funds could be used to provide labor market information and labor exchange services for any employer or job seeker without regard to specific program eligibility. WIA expands the concept of universal access to all core services provided through the One-Stop system. The combination of Wagner-Peyser funds and funds from WIA may result in an expansion of accessibility to core services. Any core services provided through other funding sources will supplement Wagner-Peyser-funded services, and not supplant any Wagner-Peyser-funded services provided by Wagner-Peyser staff.

Accountability will be increased at the local area by the performance measures mandated by Congress and USDOL. WIBs and local elected officials will take an active part in managing these standards as they are required by WIA.

We have actively engaged local elected officials in the planning for the WIA implementation. Local elected officials will have the authority to negotiate performance standards and to work with WIBs to ensure the standards are met.

The State of Indiana believes strongly in local solutions to local problems, a belief reinforced through the work-groups of local one-stop partners, local elected officials, and other stakeholders. In each of these groups, local area representatives requested that the state not place additional requirements on local one-stop systems.

For example, local elected officials felt strongly that workforce investment areas (WIAs) should coincide with the current service delivery areas (SDAs) under JTPA. Even though our Governor is a proponent of governance being aligned by labor market, we have

honored the wishes of the local elected officials. We have adopted regional planning districts as a compromise. Further, the State of Indiana will honor the desires of WIBs as they decide on how WIA funds will be devoted to core, intensive, and training services.

Business already has a large role in Indiana's workforce development system through its leadership role on PICs and membership on the SHRIC. This role will expand as we implement WIA and create our one-stop workforce investment system. Business will have membership on the incumbent worker councils for development of currently-employed workers.

Also, the work-first philosophy of WIA will engage employers in the design of training services in ways that JTPA did not. For example, through the workgroup process, many local areas stated the desire to re-energize on-the-job training and customized training for employers. And, the incentive to continue training and supporting clients after job placement will engage business as the One-Stop system helps workers increase earnings. Employer IRAs are a new One-Stop feature, which private sector members of the WIBs can help us grow.

Finally, Indiana intends to maximize the WIA dollars available for innovative incumbent worker strategies. Our business development specialists will be working hand-in-hand with business to maximize the skills of current workers by developing criteria for Certificates of Technical Achievement.

Services to youth will be improved as local areas use the increased flexibility in WIA to decide if their programs will focus on employment and training, or academic enrichment, or leadership development. WIB Youth Councils will decide this based on the particular needs of their areas and of the youth they serve.

The regulations reiterate the statutory language that provides State and local boards with the authority to determine the criteria to be applied when making the determination that there are sufficient funds available so that the priority is not in effect. Indiana is taking advantage of that statutory and regulatory authority to establish the following criteria: Funds are not limited if there is another resource that is available and more appropriate and enrollment can be accessed by the person. Additionally, we are defining criteria for limitation in terms of the funds available to meet the training needs of targeted populations relative to the amount of funds available to train individuals of non-targeted population. Each WIB must indicate in its local plan how it determined whether or not funds are limited and the priorities that would apply.

This does not mean that targeted customers will not be served. CS3 will be used to capture data on all customers of the system and track their success in benefiting from core services. Those who do not benefit, can not benefit, or request additional services, will be assessed to determine which community resources will best meet their needs. This may be WIA, additional Wagner-Peyser services, or referral to one of the partners or another community resource.

The ultimate success of the referral will be evident when CS3 registrants are run against UI wage records.

One-Stop centers must track and follow-up on referrals. MOUs describe the coordination and information sharing arrangements. We are looking to the system to serve all customers, not just the ability of WIA to serve all customers. Looking at the totality of resources available, One-Stop operators must direct customers to the resources most suitable for their needs.

Indiana has a major initiative underway to enhance integration, not just collocation in the One-Stops. The initiative includes TANF in the Division of Families and Children (DFC). Also, Indiana proposes to measure system outcomes that will foster greater cooperation among programs.

B.1. *Describe the types of employment and training activities that will be carried out with the adult and dislocated worker funds received by the State through allotments under section 132. How will the State maximize customer choice in the selection of training activities?*

With the allotments under section 132, Indiana will deliver employment and training activities in a single, customer-focused, user-friendly service system at the local level. For both types of clients, there will be three levels of services: core, intensive, and training. We will apply the "work-first" approach to service delivery to ensure that the most job-ready individuals use up-front services such as job placement before accessing more intensive services or skills training.

Core Services are:

- Determination of eligibility for services;
- Outreach, intake (which may include worker profiling), and orientation to the One-Stop system;
- Initial assessment;
- Job search and placement assistance, and career counseling;
- Provision of labor market information;
- Provision of information on:
 - eligible training providers;
 - local performance outcomes;
 - One-Stop activities;
 - filing claims for Unemployment Insurance; and
 - supportive services;
- Assistance in establishing eligibility for Welfare-to-Work and financial aid assistance; and
- Follow-up service.

Core services will be available to all individuals. The combination of Wagner-Peyser funded services and funds from WIA should result in an expansion of accessibility to core

services. (Any core services provided through non-Wagner-Peyser funding will supplement Wagner-Peyser funded services and not supplant any Wagner-Peyser funded services provided by Wagner Peyser staff).

Intensive Services are:

- Comprehensive and specialized assessment of skills levels (i.e., diagnostic testing);
- Development of an individual employment plan;
- Group counseling;
- Individual counseling and career planning;
- Case management; and
- Short-term prevocational services.

Intensive services may be provided to adults and dislocated workers who are unemployed and unable to obtain employment through core services, if the One-Stop operator determines that the individual is in need of more intensive services to obtain employment. Adults and dislocated workers who are employed, but who are determined by the One-Stop operator to be in need of intensive services to obtain or retain employment that allows for self-sufficiency are also eligible to receive intensive services.

To receive intensive services, an individual must, at a minimum receive an initial assessment. The decision to provide additional core services may be made on a case-by-case basis at the local level depending on the needs of the participant. The initial assessment, which results in a determination of a need for intensive services, will be documented in the participant's case file.

Training Services are:

- Occupational skills training, including training for nontraditional employment;
- On-the-job training;
- Programs that combine work place training with related instructions, which include cooperative education programs;
- Private sector training programs;
- Skill upgrading and retraining;
- Entrepreneurial training;
- Job readiness training;
- Adult education and literacy activities in combination with other training services; and
- Customized training conducted with the commitment to employ the individuals upon successful completion of the training.

Individuals who have met the eligibility requirements for intensive services and are unable to obtain or retain employment through intensive services may receive training services consistent with a service plan developed in intensive services.

Indiana's underlying principle of the provision of training services is customer choice. Through Local WIBs, the State will compile a list of eligible training providers that meet levels of performance as set by the Governor and the WIBs. Individuals may choose any provider from the list of approved providers, whether or not the provider is located in the local area where the individual resides.

Training will be geared toward the economic development needs of the region. Training funded by any partner except Vocational Rehabilitation will be prioritized for occupations in demand in the labor market, or in a labor market to which the trainee is willing to move and has a plan for moving. An occupation in demand includes a job for which there is ordinarily limited demand, but the individual has a bona fide job offer contingent upon completion of training.

Training funded by any partner will build on existing skills first. That is, if an individual may be trained for a good job more quickly and economically by building on existing skills, that will take precedence over training the individual for an entirely new occupation. However, if the individual's existing skills will not lead to self sufficiency in a demand occupation, the customer will be helped to utilize transferable skills in a new occupation. Customer choice applies to how and where training is provided. Although the customer's interest will be taken into consideration in developing existing skills, the demand of the labor market and limited training dollars take precedence.

The state's 15% set aside will be used for the following purposes:

Mandatory activities:

- Disseminating the list of eligible providers.
- Conducting evaluations of activities in coordination with local boards in order to establish and promote methods for continuously improving programs in accordance with 136(e).
- Providing incentive grants to local areas for regional cooperation among local boards (including local boards for a designated region as described in 116(c)), for local coordination of activities carried out under WIA, and for exemplary performance by local areas on the performance measures. We are proposing no incentive awards for PY 98 performance from WIA funds. The first incentive award would be for PY 99 WIA performance taken from PY 2000 dollars.
- Providing technical assistance to local areas failing standards. No areas will have failed WIA performance in PY 98, so no funds will be set aside until PY 2000, when the first of year of performance will have been completed.

- Assisting in the establishment and operation of the one-stop system in accordance with the strategy described in the state plan. This may include purchasing materials for IRAs, signage changes and marketing, making CS3 internet based, and so forth.
- Operating a fiscal and management accountability information system.

Permissible Activities

- State administration (max 5%)
- Capacity building and technical assistance
- Innovative incumbent worker projects

B.2. *How will the services provided by each of the required and optional one-stop partners be coordinated and made available through the one-stop system? Be sure to address how your State will coordinate Wagner-Peyser Act Funds to avoid duplication of labor exchange services.*

A One-Stop center will provide access to the applicable core services of each partner. Access may be made available through:

- Co-locating personnel at the center.
- Cross-training staff to provide the partner's core services.
- Cost reimbursement or other agreement between service providers and the partner to provide the partner's core services.
- Provision of appropriate technology.

At a minimum, "access" means that the customer does not have to go to any other physical site to obtain the applicable core service. Referral agreements or provision or "information about the partner's locations and services" will not suffice. MOUs will indicate which of the methods listed above will be utilized and how services will be coordinated.

In the "work first" environment, CS3 will be the primary starting point for customers of the One-Stop. It not only provides the entry point for labor exchange, but allows the individual to "register with the system," DWD runs the SSNs of CS3 registrants against the UI wage records to track performance. If all customers (including those who are subsequently enrolled in partner programs) are registered in CS3, then we can actually track *system* outcomes, not just Wagner-Peyser outcomes.

A self-service/informational activity is defined as: Anyone can request and get the service. There is no selection process involved; no screening, no prioritization. The customer does not have to be determined "appropriate" to get the service. It is available at regular times and locations.

A customer entering data into CS3 is not “registering” for core services or labor exchange. Rather, the individual is signing up for the one-stop and all its associated open-access informational services. A screen is being prepared for CS3 which allows the customer to electronically acknowledge permission to share information among the partners of the system to assist in his/her education, career, and job development needs. Use of CS3 allows for *system* measures of customer satisfaction, employment, and earnings gains that cut across programs. (See the following core services chart).

Core services are categorized in this way:

| | <u>Self-Service/Informational</u> | <u>Registered</u> | |
|--|-----------------------------------|-------------------|-----|
| CS3 | X | | Job |
| Placement (note: job development is a registered activity) | X | | |
| Provide information about partner services | X | | |
| Outreach | X | | |
| Orientation | X | | |
| Labor market information | X | | |
| Information about training providers | X | | |
| Information about supportive services | X | | |
| Assistance in determining eligibility for WtW or financial aid | X | | |
| Determination of eligibility for WIA | X | | |
| Provision of area performance info. | X | | |
| Workshops that are open-entry (anyone can sign up) | X | | |
| Initial assessment | X | | |
| Follow-up on WIA "exiters" | | X | |

Essentially, all core services are self-service/informational with the exception of follow-up. Here's how the client flow and point of registration might look that demonstrates how partner services will be coordinated:

1. **Individual enters office.** Is greeted, asked about desired services, and assisted in accessing appropriate points in the office.
2. **Applies for one-stop services through CS3.** Might also utilize the open-access Information Resource Area, look at job bulletin board, sign up for a manufacturing readiness workshop, and so forth.
3.
 - a. **Gets a job through core services.** UI wage data will demonstrate employment and earnings. Customer satisfaction will be measured through CS3.
 - b. **Doesn't get a job through core services.** Every area will define in local policy what it means not to be able to get a job through core services. This could be defined through:

- **time duration.** E.g., an individual doesn't get matched or employed within 4 weeks. Elements the area needs to consider: duration period; expectations for utilizing additional core informational services (e.g., attendance at workshops), and whether all individuals who don't match in the time period are contacted, or only those meeting a certain profile. Criteria might include earnings lower than that needed for self-sufficiency; exclusion of those who are only interested in working for a single specified employer; individuals who lack any skill for a single specified employer; individuals who lack any skill credentials; and so forth. This is the first step in determining who gets registered for intensive services either in WIA and/or through additional partners. "Crystal Reports" is a mechanism one-stop operators may use for querying CS3 for specialized reports of individuals having certain characteristics.
- meets a certain profile. Some individuals shouldn't have to wait a certain time period to access intensive services. Crystal Reports could be used to generate a list of persons on a regular basis who have certain characteristics which are indicative of being unable to benefit from core alone. E.g., individuals aged 55 or older with less than a high school education; individuals on public assistance; individuals with disabilities; etc.
- requests additional services. The person asks for referral to a partner or for more intensive activity. No time duration would be necessary.

4. Eligibility and appropriateness determination for intensive services.

An individual who requests other services or meets a certain profile or time duration may not necessarily be appropriate for WIA (or other partner service). The individual at this point may be given a more in-depth assessment as part of the core service of determining whether or not he/she is eligible for WIA. The various WIA-required data elements could be collected at this point for PMIS purposes. It is at this point that prioritization would be done if necessary due to limited funds. Local areas must develop criteria for prioritization. Priority rankings does not mean that ONLY those prioritized may be served, but that they must be given first consideration. A priority ranking scale could include weighted items for things like: is not making a "living wage" relative to family size; it interested in pursuing a job that is in critical demand in the regional economy; veteran, disabled; single parent; less than a high school education, etc. These rankings would be *in addition to* the priorities the State established in the State plan.

5.
 - a. **Determined not eligible or appropriate for intensive services.** The person would be referred to additional informational services, such as workshops, either within the one-stop or elsewhere in the community.
 - b. **Determined appropriate for intensive services through one or more partner resources.** The one-stop operator then determines whether the individual would be:
registered for WIA to receive intensive services; and/or connected with a partner(s) for further eligibility and appropriateness .
assessment. Intensive services and training do not have to be paid with WIA funds. The intensive services could be paid for by Wagner-Peyser (e.g., job development and counseling) and the training could be paid for by Pell and Vocational Rehabilitation. WIA might only be paying for case management. The individuals' outcome would be reported in both WIA and Wagner-Peyser performance and that of any relevant partner. Earnings gains and retention will be measured through UI wage records against CS3 registrants, which will show system success regardless of which funding source ultimately pays for any of the additional services.
6. **Enrolled in WIA or a partner or other community resource.**
7.
 - a. **Gets a job through intensive services.** UI wage data will demonstrate employment and earnings regardless of which funding source paid for intensive services.
 - b. **Doesn't get a job through intensive services.** The process is like that for moving from core to intensive with regards to duration, profile, or request.
8. **Eligibility and appropriateness determination for training.** The One-Stop operator and/or partner that provided intensive services will determine if the person is eligible and appropriate for training. Prioritization will be used as in intensive.
9. **Enrolled in training through WIA or any other partner or funding source.**
10.
 - a. **Obtains job after training.** Follow-up services provided for 12 months.
 - b. **Doesn't obtain or retain suitable employment after training.** The individual will be re-assessed for additional core, intensive, and training services.

With regards to non-duplication of labor exchange, Indiana promulgated state rules several years ago that indicates Wagner-Peyser services are to be provided solely by state merit employees to the full extent that funds are appropriated under the Wagner-Peyser Act, with no duplication of services by other entities. The rule further states that labor exchange services may be provided by non-departmental employees using non-Wagner-Peyser resources if Wagner-Peyser funds are insufficient to permit departmental employees to provide all the necessary and required services.

B.3. *Describe how the funds will be used to leverage other federal, state, local, and private resources. Specify how the state will use its 10 percent funds under section 7(b) of the Wagner-Peyser Act. Describe and provide examples of how these coordinated and leverage funds will lead to a more effective program that expands the involvement of businesses, employees, and individuals.*

Leveraging of Additional Funds

Strategies for leveraging of other federal, state, local and private resources include the following:

- Individual Development Accounts (IDAs) are being promoted through Welfare- to-Work funds and Indiana Department of Commerce IDA accounts administered through Community Development Corporations with state funds. IDAs leverage personal investments in lifelong learning.
- Local entities are required to provide the match necessary for Welfare-to-Work. Foundation funds and township trustee dollars are the primary sources at this point.
- State Workforce Investment Now funds that are used for training incumbent workers in danger of losing employment require \$2 of cash or in-kind match for every \$1 of grant money. The match can come from the employer or any other local source.
- The State Dislocated Worker Unit has been directed to encourage that at least 10% of the cost of dislocated worker projects (Governor's Reserve or state funded) come from non-federal and non-state resources.
- Communities may submit requests for state funds for sustainable lifelong learning networks. DWD (using Wagner-Peyser 7b funds) and Indiana Department of Commerce both provided resources to match private sector and community foundation dollars to develop a Learning Network in Clinton County to coordinate and facilitate workforce training, adult education, and workforce assessment programs in Clinton County. The Network will become self-sustaining through membership and user fees by year four. The committee that developed the project included representatives from the One-Stop center in the region. A similar effort is underway in Jackson County, where School-to-Work dollars are being used to match private and local funds. We plan to challenge more

communities to develop such initiatives.

- Legislation has been proposed to provide tax credits for employers who assist employees in obtaining skill certifications, including degrees, Certificates of Technical Achievement, and GEDs. This will leverage private sector funds into skill development.
- Fee-for-Service options are already available in some areas and are being developed in others. A pilot is currently underway in the One-Stop center in Evansville to implement "Work keys", which will become self-supporting through fees. Job profilers for the Work keys project will be both state merit staff of the DWD and local WIA staff.

Wagner-Peyser 7b Wagner-Peyser 7b for PY 99 will be used to support:

- Information Services staff to refine the Customer Self Service System (CS3), the primary labor exchange tool in the One-Stop system.
- Consolidated Outreach Project (COP). COP is a joint effort with the Family and Social Services Administration to serve Migrant and Seasonal Farm workers.
- Information Resources Area (IRA) staff and supplies. IRAs are described elsewhere in this plan. An IRA is a required component of any One-Stop Center.
- Incentive awards for Wagner-Peyser performance. The Department of Workforce Development will explore how incentive funds from Wagner-Peyser and WIA can be utilized together to make an award to One-Stop centers for meeting combined performance expectations for core and intensive Wagner-Peyser and WIA services.
- Joint projects with the Department of Commerce in economic development initiatives. Funds from this category were utilized in the Clinton County Learning Network described above.
- Lifelong Learning Institute, which designs and provides training for the One-Stop System.
- Capacity building projects, such as the Work keys project described above.

B.4. *Describe how the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farm workers, women, minorities, individuals training for non-traditional employment, veterans, and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking ability, and people with disabilities) will be met. How will the State ensure nondiscrimination and equal opportunity? (Section 112(b)(17).)*

Core services will be made available through self-service and staff-assisted service provided primarily through Wagner-Peyser staff and supplemented by partners. All core

services will be available at the 27 one-stop centers. Core services are available to the general population, including those customer segments who have special needs, such as dislocated workers, displaced homemakers, low-income individuals, public assistance recipients, women, minorities, individuals training for non-traditional employment, older individuals, limited English speaking, and the disabled. A limited array of core services (excluding use of CS3 for labor exchange) will be available at satellite offices that are primarily WIA-funded. Information about the core services will be available at all partner offices.

Intensive services will be WIA funded for registered individuals, supplemented by partners for co-enrolled individuals, or provided solely by partners for individuals who are not appropriate for WIA, or who are more appropriate for other programs. Most intensive services will be available at the one-stop center directly through the partners or through contracts with service providers. Each individual registered for WIA will receive at least one intensive service and all will have a case management file, either electronic or paper or both. Intensive services are intended to identify obstacles to employment through a comprehensive assessment or individual employment plan in order to determine specific services needed, such as counseling and career planning, referrals to community services, and if appropriate, referrals to training. Such individuals include customer segments who have special needs, such as dislocated workers, displaced homemakers, low-income individuals, public assistance recipients, women, minorities, individuals training for non-traditional employment, older individuals, limited English speaking, and the disabled.

Training will be available through providers listed on the statewide eligible training provider list. Adult and dislocated workers, who have been determined to need training, may access WIA funded training with an Individual Training Account. Such individuals include customer segments who have special needs, such as dislocated workers, displaced homemakers, low-income individuals, public assistance recipients, women, minorities, individuals training for non-traditional employment, older individuals, limited English speaking, and the disabled. Contracts for WIA funded training may also be authorized by the WIB for special populations that face multiple barriers to employment such as individuals with substantial language or cultural barriers, offenders, homemakers, individuals, and disabled. Staff may arrange for the availability of partner resources through a referral process, or using a lead case manager who coordinates access to partner services.

Statewide strategies for serving “segments”:

Dislocated workers: rapid response activities are already addressed in the plan. Such activities include financial counseling to assist with sudden reduction in income and peer counseling (currently provided through a contract with the state AFL-CIO) to train workers to help each other during the emotional adjustment that accompanies dislocation.

Displaced homemakers are served through dislocated worker services. Through divorce,

their income reduction mirrors that of other dislocated workers. Since many displaced homemakers have been out of the workplace for some time, they may need job search workshops, assistance with resume development, and training in interviewing skills. Additionally, some will need self-esteem building as a result of the changes in their personal lives. All these services are accessible at One-Stop centers.

Low-income individuals and welfare recipients may need access to Individual Development Accounts to help them build assets. IDAs are accessible through Community Development Corporations. One-Stop centers may refer appropriate individuals for this purpose. As welfare recipients decline dramatically, a large percentage of those who remain have disabilities, substance abuse problems, and domestic abuse issues. Strategies include referral to mental health professionals and vocational rehabilitation, and enrollment with Adult Basic Education and Volunteer Literacy providers for assistance.

The number of “segments” and their needs could be endless. Our statewide strategy is to educate One-Stop system staff about community services, ensure individualized attention to customer needs, and develop appropriate services if necessary to meet unique situations.

Building on existing skills is a common-sense approach to stretching funds. Training is not an entitlement, and WIBs need to make efficient use of their dollars. This does not mean that individuals who need to be trained for different occupations will not be. If an individual’s existing skills can not be developed into self-sufficient employment or if those existing skills can not be built into a set of skills needed by the regional economy, then he or she will be prepared for different and non-traditional jobs. The following charts outline potential service needs by demographic group members:

| | At-risk worker | Dislocated worker | Displaced homemaker | Disabled | Low income | Welfare |
|---|---------------------------|------------------------------|--------------------------------|-----------------|-------------------|----------------|
| Job develop- ment | | | X | X | | X |
| Job shadow | | | X | X | | X |
| OJT | X | X | X | X | X | X |
| Work Experience | | | X | X | | X |
| Classroom training | X | X | X | X | X | X |
| ABE/GED | X | X | | X | X | X |
| Apprentice- ship | | | | | X | X |
| Certificates Technical Achieve- ment | X | X | X | X | X | X |
| Degree attainment | X | X | X | X | X | X |
| Job readiness | | | X | X | | X |
| ESL | | | | | | |
| Supportive Services | | | X | X | X | X |

| | MSFWs | Women | Offenders | Non-trationals | Older Workers |
|--|-------|-------|-----------|----------------|---------------|
| Job develop-ment | | | X | X | X |
| Job shadow | | | X | X | |
| OJT | X | | X | X | X |
| Work Experience | | | X | | |
| Classroom training | X | X | X | X | X |
| ABE/GED | X | | X | | X |
| Apprentice-ship | X | | X | X | |
| Certificates Technical Achieve-ment | X | X | X | X | X |
| Degree attainment | X | X | X | X | X |
| Job readiness | | | X | | |
| ESL | X | | | | |
| Supportive Services | X | X | X | X | X |

B.5. *Describe the criteria developed by the State for local Boards to use in determining that adult funds are limited and that priority of service applies. Describe the guidelines, if any, the State has established for local Boards regarding priority when adult funds have been determined to be limited.*

Funds are not limited if there is another resource that is available and more appropriate and accessible for that individual. For example, if a TANF eligible individual is referred to TANF and enrolled and served by that resource, then funds were not limited for that individual. One-Stops shall establish a feed-back loop to determine effectiveness and outcome of the referral. If there are more individuals needing more than core services than can be addressed by the One-Stop partners or other community resources, then WIBs must describe their priority ranking process in their local plan

consistent with state guidelines for priority. Also, each WIB must indicate the criteria it will use to make the determination that the priority is in effect. It may utilize the state criteria or impose more stringent criteria.

The priority process shall incorporate priority for the following:

- Former or current TANF recipients who are working but who need GED or occupational skill training to increase their wages.
- Food Stamp recipients who are working and who need GED or occupational skill training to increase their wages.
- Low income individuals not eligible for TANF or Food Stamps and who need GED or occupational skill training.
- The working poor who need GED or occupational skill training to increase their wages.

The above categories will include veterans, displaced homemakers, minorities, migrant and seasonal farm workers, dislocated workers, women, ex-offenders, people interested in non-traditional career, individuals with disabilities, and older individuals.

This prioritization will address Indiana's need to develop the skills of employed workers, raise the educational attainment of Indiana workers, and increase personal income, while simultaneously meeting legislative intent to assist disadvantaged individuals. The strategy also avoids duplication by ensuring that resources of the Family and Social Services Administration are prioritized for their intended purpose, while WIA funds are used for low income individuals who either do not qualify or who have already been initially served and placed in work through TANF and food stamps, or through other programs such as those of the Township Trustees, Community Action Agencies, HUD employment and training programs, and other funds that may be available in a region.

Each WIB will examine the totality of the resources available, some of which may be unique to its area. For example, some areas have Opportunities Industrialization Centers, empowerment zones, federal discretionary dollars such as competitive welfare-to-work funds, and other resources which are not accessible on a statewide basis. The determination as to whether training funds are limited is indeed a local decision.

Local Workforce Investment Boards will act as the catalyst to bring local systems together, leverage additional funds, and secure community commitment to educational attainment, skill enhancement, and lifelong learning. Technical assistance has been procured to assist WIBs in making the transition from fund management boards to strategic planning boards that convene forums for planning the future and bring together the activities of Step Ahead Councils, Local Planning Councils, Incumbent Worker Councils, Youth Councils, School-to-Work Partnerships, and Workforce Partnerships.

B.6. *Describe how the needs of employers will be determined in the local areas as well as on a statewide basis. Describe how services (e.g., systems to determine general job requirements and list jobs), including Wagner-Peyser Act services, will be delivered to employers through the One-Stop system. How will the system streamline administration of federal tax credit programs within the One-Stop system to maximize employer participation?*

Employer involvement and commitment to the One-Stop system is an essential component of a successful workforce development system. Strategies to initiate, maintain, and improve business involvement are crucial to an effective and efficient One-Stop system, and for determining the local needs of employers.

As part of DWD's demand side approach to workforce development, development specialists have been located in seven regions throughout the state. The development specialists produce a statistical description of each region by collecting regional and state labor market information. They identify the challenges facing each region by interviewing local leaders, business owners, and workers, and by analyzing regional and local studies. All of this data is distilled to action plans for meeting the challenges of developing the workforce for each region, and for gathering more precise information about the ever-changing needs of employers. The development specialists serve as liaisons between businesses and DWD and, as such, act as brokers of information concerning funding sources and services available through the One-Stop system.

One of the roles of the development specialists is to determine the needs of employers in the local areas and statewide. Through contacts with employers and employer groups, the development specialists gather information on employment demands and training and recruitment and provide information about funding sources and services available. This process is in place now and is on going.

Please review the market analysis section in III.A.2. Employers needs are identified through the job task analysis process for Certificates of Technology Achievement as well as through Work Keys job profiling. Work Keys is being piloted in Evansville and will be going statewide. Employers needs are also determined through skill set descriptions in the job order placed in CS3.

An aggressive marketing approach to businesses, focusing on the CS3, will allow One-Stop staff to serve as consultants to businesses as they develop their own recruitment strategies. Businesses can access CS3 on their own through the internet. Once businesses access CS3, they will be able to input the occupational requirements of their open jobs and search for job seekers who possess the desired qualifications; they will be able to identify individuals who meet the criteria for specific jobs; and they will be able to contact job seekers directly about the job openings. Some job seekers may choose to maintain a confidential record; thus, employers will be able to determine the job seekers availability by contacting the One-Stop center.

A broad range of information and assistance is available to employers consisting of listing

and matching of job openings, testing, assisting in the development and implementation of recruitment strategies, providing EEO/AA assistance and information, defining changes in employment and unemployment laws, assessing needs of the workplace, and developing employer seminars to promote issues that are of interest to the business community. It is important the local One-Stop system develops relationships with community based business groups. Exchange of information vital to the provision of employment and training services occurs in cooperation with organizations such as the Chamber of Commerce, local economic development organizations, and civic and community business organizations.

At the local level, conditional Work Opportunity Tax Credit (WOTC) and Welfare-to-Work (W2W) Tax Credit certifications are issued by state staff, SDA (or WIA) partners, and vocational rehabilitation counselors. Soon, disabled veteran counselors and DVOPS/LVERS will be trained. There is a trigger on CS3 that alerts the one-stop staff that someone is potentially eligible for WOTC/W2W certification. Staff contact that person for completion of certification forms to enhance their marketability to employers.

All persons receiving services under an "individualized written rehabilitation plan" or "individual plan for (of) employment" from vocational rehabilitation are eligible for certification. Vocational rehabilitation counselors are able to issue conditional certifications for their clients.

The state level tax credit coordinator met with Veterans' Administration staff and participated in a teleconference of VA contractors and DVOPs/LVERs regarding disabled or "Chapter 31" veterans. This is a target population under our vocational rehabilitation group and are the only veterans the VA contractors refer to our DVOP/LVER staff. We are also able to assist veterans with non-service-related disabilities through the regular vocational rehabilitation target group. We anticipate expanding the number of conditional certifications through this linkage as well as further assisting veterans in the labor market.

One of our goals for Program Year 1999 is to train the TANF/Food stamp case managers to do conditional certifications. Initial meetings have been held with the Family and Social Services Administration (FSSA). Part of the challenge will be training the very large number of TANF/Food Stamp staff. In the interim, the WOTC Unit at DWD has access to the FSSA benefit computer and can verify benefits online. A second goal for Program Year 1999 is to involve probation/parole officers, and eventually, SSI. The bulk (95-99%) of tax credit work comes to the WOTC unit directly from employment consultants and employers. Those are processed by the state level WOTC staff. We have increased our production by 400 percent in the last year. In addition to the federal tax credits, one-stop staff will make employers aware, as appropriate, of state tax credits.

EDGE Tax Credits

The EDGE tax credits are based on the added payroll for creation of new Indiana jobs. The payroll taxes withheld from those new employees, effectively 3.1% in Indiana, are the

basis for the credits. Tax credits can be awarded up to that amount, i.e. up to 3.1% of gross payroll, for a period not to exceed ten years. The credits awarded are first applied against any Indiana corporate income tax liability, and any excess amount earned is refunded directly to the company.

Eligible projects are those with a competitive disparity in project costs, including incentives, between an Indiana location and a competing state. The project must also receive significant community support and compare favorably with county wage levels.

Indiana Corporate Income Tax Credits

Taxpayers eligible for state corporate income tax credits apply the value first against gross tax liability, then against corporate adjusted gross tax liability, and finally against supplemental net liability. Some credits may be applied against future tax liabilities if the amount of current credit exceeds taxes due. Examples of credits are:

- Teacher Summer Employment Credit: Credit to persons who hire a public school teacher during the summer in a position that is relevant to a teaching-shortage area in which the teacher is certified. Limited to the lesser of: (a) \$2,500; or (b) 50% of the compensation paid.
- Enterprise Zone Employment Expense Credit: A taxpayer who conducts business in an enterprise zone is entitled to a maximum credit of \$1,500 for each employee who is an enterprise-zone resident and who is employed primarily by the taxpayer.
- Twenty-First Century Scholars Program Support Fund Credit: Credit for contributions to the fund. A maximum credit of the lesser of (a) \$1,000; (b) 50% of the contribution made; or (c) 10% of the adjusted gross income tax is available.

B.7. *Describe the reemployment services you will provide to Worker Profiling and Reemployment Services claimants in accordance with section 3(c)(3) of the revised Wagner-Perser Act.*

Services provided to all selected profiled claimants include orientation, assessment, and service plan preparation. Based on the assessment results and employment needs identified during completion of the service plan, additional services may be available. This approach ensures that the services selected profiled claimants receive are tailored to meet their needs.

Selected claimants participate in a group orientation about reemployment services. The orientation consists of providing the participants with information about the assessment, service plan preparation process, their rights and responsibility to participate, and effect of non-participation on their eligibility to draw UI benefits.

An initial assessment will be completed for each selected profiled claimant to determine appropriate reemployment services or additional assessment. The assessment includes a determination (via interview) of job interests, job seeking skills, awareness of labor market

conditions, and job search progress to date. In addition, marketable skills, education, and other employment related factors will be evaluated.

A service plan is prepared for each selected profiled claimant and involves a discussion of the claimant's interests, needs, and assessment results. Additional reemployment services may be recommended and incorporated into the service plan based on this discussion. Additional services may include formal assessment, job search workshop, job search assistance, and employment counseling. Selected profiled claimants are required to participate in orientation, assessment, service plan preparation, and those additional reemployment services to which they agreed.

B.8. *Specifically describe the Wagner-Peyser Act-funded strategies you will use to serve persons with disabilities.*

Indiana's objective is to provide equitable services to persons with disabilities and ensure that all One-Stop facilities are compliant with the Americans with Disabilities Act (ADA). In each field office there is one staff person who has the responsibility of EO/ADA coordination, which means ensuring quality customer service for persons with disabilities and complying with applicable regulations.

Indiana will continue offering outreach efforts to persons with disabilities and providing information to employers on modifying work-stations or making reasonable accommodations to allow persons with disabilities to secure or retain employment. Money through various programs such as Job Accommodation Network (JAN) and Vocational Rehabilitation (VR) is available to employers to make modifications to work-stations at minimal or no cost to the employer, which will allow a person with a disability to adapt easily and readily to the work environment.

One-Stop centers in Indiana have training videos and resource materials available to employers that promote the work contributions persons with disabilities can make to the ever-growing global economy. During employer seminars, employers are/will be informed about the ever shrinking labor market and that there are qualified persons with disabilities that can perform jobs that are needed in our communities. At all One-Stop centers, Zoom text software is loaded on PCs for the vision impaired, and TTY is available for the hearing impaired. Indiana is committed to better educating our citizens about the productivity of persons with disabilities and will continue to encourage hiring those interested in employment and mentoring those still in school to join Indiana's labor force.

Coordination of services to persons with disabilities is enhanced in those locations where VR services are housed in the same building with the One-Stop centers, or they are in close proximity to each other. There are four co-locations and plans for more co-locations as relocations or renovations occur. VR staff are out-stationed at some One-Stop centers on an itinerant basis, and there are several sites where VR is located within a few blocks. Indiana has a state wide referral system between programs such as Vocational Rehabilitation, Association for Retarded Citizens, rehabilitation facilities, and educational

institutions. These various organizations provide services to persons with disabilities, network with all community, regional, and national organizations to ensure that this diverse group of Hoosier citizens is considered for potential employment or training as may be appropriate.

One-Stop staff are trained to assist employers not only in recruiting potential employees but in examining their business on how other populations, like persons with disabilities, can fit into their recruitment and hiring practices. When performing job development activities for persons with disabilities, One-Stop staff will emphasize their abilities, not their limitations. One-Stop staff will work with partners and employers to ensure that persons with disabilities are recruited and referred to appropriate agencies for training or to Indiana employers for placement.

Please see Attachment #14 to review the Vocational Rehabilitation State Plan.

B.9. *How will Wagner-Peyser Act funds be used to serve veterans? How will your State*
B.10 *ensure that veterans receive priority in the One-Stop system for labor exchange services? What role will LVER/DVOPS staff have in the One-Stop system? How will your State ensure adherence to the legislative requirements for veterans staff? (112(b)(7)). How will services under this plan take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs?*

Wagner-Peyser Act funds will be used in One-Stop offices to provide veterans and other eligibles with maximum employment and training opportunities as outlined in 38USC, Chapter 41, and 20 CFR 1001.120. The full array of services available through One-Stop offices, which are funded by Wagner-Peyser will be available to all veterans and other eligibles on a priority basis. These services will include but not be limited to, registration, counseling, referral to supportive services, job development, labor market information, resume development, case management, job search assistance and referral to training.

Local Veterans Employment Representatives and Disabled Veterans Outreach Program Specialists in a one-stop environment shall perform their duties as outlined in 38USC, Chapter 41. Local one-stop plans will describe how activities described in Chapter 41 will be coordinated and not duplicated.

As a means of ensuring that veterans receive priority services in the one-stop system and throughout the State's employment and training system, Local Veterans Employment Representatives in one-stop offices will provide functional supervision over the provision of Wagner-Peyser services provided to veterans and other eligibles, by all local one-stop staff and be administratively responsible for providing reports on veteran services and activities to the one-stop operator, the State Veterans Coordinator and the Director for Veterans Employment and Training.

All job orders processed through CS3 with staff assistance must have veterans preference

applied. Staff will apply veterans preference by calling in qualified veteran applicants first. Job orders taken by staff are to be placed in hold when entered into CS3 and should remain on hold until a veteran search and call-in has been performed. If no qualified veterans are found for call-in, the job order should be released immediately for staff assisted or self-referral of non-veterans. Any staff person working job orders assumes the responsibility for assuring that veteran preference has been applied to all job orders.

Federal Contractor Job Listings will be identified in CS3 by a flag icon on the employer screen. These job orders will automatically be put on a 24 hour hold to search and call-in qualified veterans.

The Department of Labor, Veterans Employment and Training Service will monitor and review the provision of services to veterans at each one-stop office at least annually, and provide an analysis of findings with recommendations for corrective actions presented to the Department of Workforce Development. Additionally, DOL/VETS will monitor financial and program performance reports from each one-stop office at least quarterly. Findings will be presented to DWD for action. As a full partner to the Department of Workforce Development, the DOL/VETS will be included in all activities related to priority services to veterans and other eligibles in the implementation of the Workforce Investment Act of 1998. All local one-stop plans shall incorporate the provisions of the agreement reached between the Secretary, Veterans Employment and Training Services and the State, regarding veteran's employment and training programs. Please see Attachment #10 for a copy of the "Secretary's Agreement Governing Services to Veterans".

B.11. *Describe how the State will provide Wagner-Peyser Act-funded services to the agricultural community--specifically, outreach, assessment and other services to migrant and seasonal farm workers, and services to agricultural employers. How will you provide equitable services to this population in the One-Stop system?*

Agricultural Services: Providing agricultural employers assistance with their labor needs and establishing outreach activities for migrant and seasonal farm workers (MSFWs) to provide them with information about, and access to, applicant services available through DWD as required by 20 CFR 653.1; this is accomplished through the Consolidated Outreach Project (COP) described under the State Level Linkages Section (A.4.) of this plan and through the activities described below.

Migrant and Seasonal Farm Worker Assessment of Need: There have been no recent increases in agricultural activity in Indiana. It is anticipated that approximately 10,000 migrant and seasonal farm workers will again be working in Indiana during the next agricultural season.

During the past season, major labor intensive crop activities involved tomatoes, cucumbers, and market vegetables in the northern part of the state and squash, pumpkins, tobacco, and fruits in the southern part of the state. The months of July, August, and

September remain as the most labor intensive time of the season. While corn detasselling is still a major activity in the state during the month of July, seed companies have been recruiting their own migrant workers.

The state does not project any major change in the level of agricultural activity during the next growing season. Crop activity should remain constant. However, there may be a shortage of labor during the season in some areas of the state. The increasing number of undocumented workers in agricultural has raised concerns among growers that they will have difficulty in recruiting documented farm workers. The State Monitor Advocate will continue to seek alternative ways to recruit workers.

One recruitment initiative started last year will be expanded upon with the bordering states of Ohio and Michigan to review agricultural labor needs and to identify available workers to assist each state in locating and referring farm workers to neighboring states when shortages exist. This partnership involves state employment services, cooperative extension agents, and members of the grower community. In addition, efforts will be made to develop contacts with "sister cities" in the state of Texas to enhance the process of recruiting farm workers to Region V.

Migrant and Seasonal Farm Worker Outreach Plan: Although the Wagner-Peyser grant does not contain funds targeted for Migrant and Seasonal Farm worker (MSFW) activities, Department of Labor Regulation 653.1 mandates that DWD accomplish outreach to this group. DWD will continue to meet its outreach responsibilities to MSFWs with its financial support to the Consolidated Outreach Project (COP).

The Indiana Department of Family and Social Services Administration (FSSA) is the administrative agency for COP, which is an collaborative agreement among DWD, FSSA, Indiana Department of Education, and Indiana Health Centers, Inc. to share limited resources to maximize outreach efforts. The COP program allows for a more efficient use of MSFW resources by minimizing duplication of effort in outreach by state agencies. The COP staff provide participants with current information regarding the distribution of the MSFW population in Indiana and inform MSFWs of the employment and training services DWD has to offer them.

COP staff consists of three (3) permanent, bilingual outreach workers and eleven (11) part-time, seasonal outreach workers. Outreach staff are located in those areas of the state in which migrant workers are most heavily concentrated (Kokomo - West Central, Marion - East Central, and South Bend - North). Of the approximate 10,000 MSFWs in the state last year, outreach workers were able to contact 6,735 MSFWs in the fields or migrant camps. COP staff will continue to seek out and locate small pockets of workers in isolated areas of the state.

Employment Services Provided to MSFWs and Agricultural Employers: Indiana is not a significant MSFW state and has no designated MSFW-specific local offices; nevertheless, labor exchange services will continue to be provided to MSFWs in the same qualitative and quantitative proportion as that provided to other applicants.

DWD will continue to assist agricultural employers who have labor shortages. When local workers are not available, DWD will provide technical assistance to growers to aid them in accessing the interstate agricultural recruitment system. Likewise, local office staff will provide farm labor contractors assistance in preparing applications for certification with the U.S. Department of Labor.

DWD works closely with Transition Resources Corporation, the JTPA 402 Grantee in Indiana, to encourage cooperative ventures to improve services to MSFWs and to the agricultural community. Cooperative plans involve joint workshops with employers and increased staff cooperation in the field.

Since our initial cooperative agreement, DWD and TRC have expanded their partnership to include out-stationing of 402 JTPA staff at three (3) DWD local offices. This agreement to share office space in our one stop centers with TRC staff has improved access to employment and training services for farm workers and has provided our agency with staff who are bilingual and who have experience in working with farm workers.

The State Monitor Advocate (SMA) will continue to carry out on-site MSFW compliance reviews of selected local One-Stop offices. Desk audits using the S1497 Report, Indicators of Compliance, will be the method by which the SMA will monitor statewide service to MSFWs.

The State Monitor Advocate will work with the Director of Field Operations to provide technical assistance to staff of the one stop centers, including training in identifying migrant and seasonal farm workers, advice on working agricultural job orders, and coordination of services with COP and the 402 Grantee to improve services to MSFWs.

To ensure MSFWs have access to services at our one stop centers, the State Monitor Advocate will seek ways to increase the ability for all those involved in MSFW service delivery to be able to dialogue in order to understand and improve on their particular roles and functions. The State Monitor Advocate will be meeting with service providers at the local level to identify priority issues and to develop a continuous consensus building process to determine the appropriate technical assistance necessary for improving service delivery for the MSFW customer.

B.12. *Describe how the Wagner-Peyser Act-funded labor exchange activities will provide a statewide capacity through the One-Stop system for a three-tiered service strategy that includes (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service. Describe your State's strategies to ensure that Wagner-Peyser Act-funded Services will be delivered by public merit staff employees.*

There has been a change in customer expectations. Customers expect to participate in deciding what services they receive and, more importantly, how they receive them. Offering services through both self-directed (self-service and facilitated self-help) and

staff-assisted methods gives customers a choice on how they receive them. Self-directed services places more responsibility on the customers for the use of the services and puts them in charge of services received. It expands the capacity of the system to reach beyond staff resources and is more cost efficient by allowing staff to provide service to those who cannot use self-help tools or who want or need staff assistance.

Wagner-Peyser funding will support three options for service delivery throughout the state. Note that Indiana refers to these as service "options" rather than service "tiers" because options indicate choice while tiers imply progression. In addition, using the word "options" help distinguish them from the WIA prescribed tiers of core, intensive, and training.

One option is self-service. Indiana's centerpiece for providing public labor exchange services statewide is the Customer Self- Service System (CS3). As the name indicates, CS3 is designed as a self-help tool, requiring little or no staff assistance. CS3 allows customers to take charge of their employment and training needs by having immediate and direct access to Indiana's database. Job seekers will be able to enter their own work application and match their skills and abilities with employment opportunities and/or begin the process of exploring career and training resources available.

Through the internet, the business community will be able to enter job orders and search for matches on-line; economic development leaders can use the data to determine the skills and abilities of the local labor pool by browsing the CS3 talent bank. Flexibility has been built into the system to enable additional services and access to resources to be added as they are developed. In PY99, work registration for job seekers will become internet-based. In addition to CS3, another self-service feature is the Information Resource Area (IRA). The IRA contains many self-help resources and tools that can assist customers in looking for employment, conducting career exploration, or exploring training opportunities.

Another option is facilitated, self-help service. Some customers may need brief assistance from staff on the use of the CS3 and IRA resources. The brief assistance may consist of answering some general questions about services or giving some instructions on how to use a computer or a specific software package. The objective is to show customers how to use the self-help tools so that they can use them in the future without any assistance from staff.

Job seekers who are unable to use the resources by themselves will be assisted in entering their applications and performing a job searches, until they are able to use them without staff assistance. Staff will assist the business customers to use CS3 on-line by showing them how to use the system to achieve maximum results. This includes how to enter job orders, massage the system, and use talent browse. Showing customers how to use the self-help tools and resources gives customers the choice of self-service on future office visits.

The third option is staff-assisted service. Customers who cannot use self-service or request or need services that are not available through self-service may be provided staff assistance. This assistance could range from completing an application or taking a job order to counseling. Generally the services provided in the staff-assisted service option will be intensive-type services, such as counseling, in-depth assessment, job search workshops, and job task analysis.

DWD has promulgated rules to ensure that public labor exchange services are delivered by public merit staff. Public merit staff will be used to the full extent of DWD funding, but other staff using other resources may supplement labor exchange activities.

B.13. *Describe how your State will provide rapid response activities with funds reserved under section 133(a)(2), including how the State will use information provided through the WARN Act to determine when to provide such activities.*

Indiana is experiencing a skilled worker shortage in many areas. At the same time, a significant number of Indiana workers are experiencing job loss as corporations consolidate, automate, and shift production to remain competitive. Indiana must utilize the existing workforce as efficiently and effectively as possible, ensuring that workers losing jobs can quickly transition into suitable employment or into One-Stop intensive and training services, which will provide the education and training necessary (GED, skills credentials, and associate degrees) for a successful transition.

The State Dislocated Worker Unit/Rapid Response will be renamed the Workforce Transition Unit (WTU). With input from the State Workforce Investment Board, the WTU will provide standardized pre-layoff services statewide to employers and workers facing job loss and will work closely at the local level with local WIBs and community-based organizations in planning for any event-based services beyond early intervention group activities. The local WIBs, with direct input from local employers, will have the flexibility to set policies and determine what intensive and training services to offer dislocated workers in their areas. State and local rapid response coordinators will coordinate closely with One-Stops and other service providers on an event-by-event basis, based on the strategies developed following the initial on-site meeting with employer and work representatives.

Rapid response offers the opportunity to explore options for aversion and saving jobs. It can also reach workers prior to dislocation and provide services that will assist them in transitioning to the best possible new employment as quickly as possible.

Under WARN Act legislation, covered employers must file WARN notices with the State Dislocated Worker Unit. In Indiana, the Manager of the WTU receives WARN notices, logs and distributes them and assigns each WARN to the appropriate State rapid response coordinator. It is the responsibility of the State rapid response coordinator to make contact with the employer within two working days to set up an initial on-site meeting in response to any WARN or public announcement of layoff of 50 or more workers.

The purpose of this initial on-site meeting is to gather information about the closing or layoff and to share information about available state and local services. It is during this meeting, and the strategic planning session with service providers that follows this meeting, that the determination is made as to which rapid response activities will take place. Certain basic services will always be appropriate, such as orientation or information sessions for affected workers.

Other services, such as the establishment of a labor management adjustment committee or the provision of on-site core services may vary as appropriate. The decision on what state, local and community services are to be offered **is a joint decision** of the rapid response strategic planning group as well as the employer and worker representatives.

Allocation of rapid response funds to local areas:

Indiana will allocate rapid response funds to local areas in three ways:

1. By contracting with each WIB for the services of a local rapid response specialist to support the State rapid response initiative, to represent the Title I service provider in initial on-sites, and to address dislocations or fewer than 50 workers.
2. By setting aside a portion of funds for quick draw-down for the provision of rapid response activities pre-layoff, and
3. By setting aside a portion of the 25% funds to support larger dislocation projects.

B.13.

- a.** *Identify the entity responsible to provide rapid response services*

The entity responsible for providing rapid response services in Indiana is the State Workforce Transition Unit. The provision of information, emergency services and group activities prior to layoff will be accomplished through a partnership of state and local response initiatives as outlined in a contractual agreement between the State and local grantee or designated agent.

B.13.

- b.** *How will your State's rapid response unit's activities involve the local Boards and local Chief Elected Officials? If rapid response functions are shared between your State unit and local areas, identify the functions of each and describe how rapid response funds are allocated to local areas.*

The WTU is comprised of individuals representing UI, TAA, NAFTA/TAA, Wagner-Peyser, grants management and planning within DWD. Staff members work in different units but confer on a frequent basis, and meet monthly to review the plant closure/mass layoff lists and discuss early intervention funding and service needs.

The unit will ensure the provision of statewide rapid response services following protocols in Attachment #11. The State WTU will include four experienced out-stationed coordinators and a manager at the state level. Additionally, Indiana will use a portion of the 25% rapid response allocation of Title I dislocated worker funds to provide financial assistance to each of the sixteen WIBs for a local rapid response coordinator. Local coordinators will work with the State rapid response coordinators in organizing services on-site at dislocations of 50 or more and will provide (or arrange for the provision of) group workshops. The WIB may also select to respond to dislocations of 49 or fewer, using the local coordinator.

The State rapid response coordinators, in conjunction with local coordinators, will provide assistance to the local Boards and chief elected officials in developing a coordinated response to dislocation events, in obtaining access to State economic development assistance, and in applying for national emergency grant funds.

The State WTU will hold quarterly rapid response roundtables for WTU staff, rapid response staff (both State and local), and contracted service providers.

DWD may also contract with other entities for pre-layoff rapid response services such as specialized workshops.

B.13.

- c.** *Describe the assistance available to employers and dislocated workers, particularly how your State determines what assistance is required based on the type of lay-off, and the early intervention strategies to ensure that dislocated workers who need intensive or training services (including those individuals with multiple barriers to employment and training) are identified as early as possible.*

Initial early intervention will include on-site contact with employer, and union or employee representatives and will include information gathering and sharing, aversion assistance if appropriate, and the establishment of a labor management committee when feasible. Rapid response coordinators will also provide TAA and NAFTA/TAA information and petitions to employers and union officials or work representatives during the initial on-site meeting.

On-site, pre-layoff rapid response services will be geared toward emergency assistance needs (stress management, financial counseling), career/labor market awareness, interviewing skills, etc. The extent of provision of initial assessment and appropriate core services will be determined in the event-based strategy session with state, local and community service providers following the initial on-site meeting.

Event-based planning allows for local flexibility on how the area will respond to dislocations in general as well as a more directed event-based response based on the size and impact of the plant closure or mass layoff. Worker surveys will be done at the

orientation sessions and may be used as the initial indicator of barriers faced by the workforce. However, the degree to which the local area is able to provide core and intensive services in a pre-layoff mode will determine how quickly those individuals with multiple barriers to employment and training are identified.

A general workforce assessment will be based on information collected at the initial on-site meeting, supplemented by individual surveys completed at the rapid response orientation/information sessions. Usually, survey returns run as high as 95%. The State rapid response coordinator, the local coordinator and the One-Stop partners use the valuable survey information to determine needs and develop an appropriate response tailored to the immediate and longer-term needs of affected workers.

Strategic planning meetings have been, and will continue to be, integral to the rapid response initiative.

If the workforce facing dislocation is certified as eligible for services under Trade Adjustment Assistance, the State rapid response team will take the lead in bringing One-Stop partners (W/P, TAA and WIA Title I) together to form a coordinated effort in informing workers and assisting them in making a smooth transition from core, intensive or training services into Trade-approved services, so workers may receive the broadest coverage of service without duplication of efforts or funding. Trade-certified workers will be dual-enrolled in Title I.

If a workforce facing dislocation includes union jobs, organized labor will be engaged in planning for the delivery of services to the workers.

B.14. *Describe your State's strategy for providing comprehensive services to eligible youth, including any coordination with foster care, education, welfare, and other relevant resources. Include any State requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant or parenting. Describe how coordination with Job Corps, youth opportunity grants, and other youth programs will occur. (WIA 112(b)(18)).*

Comprehensive services will be provided to Indiana youth in accordance with Chapter 4 of Title I of WIA and through a variety of methods described below. The youth programs authorized under WIA create youth systems that are closely linked to the labor market and are designed to provide participants with a comprehensive set of service strategies. Indiana's youth program under WIA fuses youth development activities (e.g., leadership development opportunities such as community service) with traditional employment and training activities. It is based upon several key elements: integrated academic and vocational education; integrated work-based and classroom-based instruction; effective connections to intermediaries with strong links to the job market and employers; and intensive private-sector involvement.

The Workforce Investment Act provides Indiana a unique opportunity to redefine current local youth programs and build upon innovative experiences and prepare our youth for active participation in the workforce. Unfortunately, the challenges faced in developing the future workforce in Indiana are substantial. As one example, a little over half of the 1997 high school graduates enrolled in post-secondary education; and Indiana's graduate rate (based on 4 grades) was 87.69% in school year 1996-97. In addition, "doing more with less resources" has become the norm at both the state and local levels. As an example, Indiana's Job Training Partnership Act Title IIB states allotment for Program Year 1994 was \$14,079,571; in Program Year 1998 it was \$11,811,742.

In order to succeed Indiana local communities must achieve a level of collaboration that brings together local workforce training providers, schools, community organizations, and others in an effort to strategically align and leverage resources and to create community youth assistance strategies. Indiana will do this by designing a system that blends funds so that the needs of youth are met and not by designing a system built around funding silos. Also, Indiana will do this by not creating a state-level model and rubberstamping its use across the State but, instead, encourage local communities to develop programs that meet the particular needs of the youth in that local region. Lastly, Indiana will do this in united partnerships at both the state and local levels, eradicating turf issues. By working together, Indiana's local systems will provide youth with skills that include a knowledge of the work world, academic skills linked to occupational learning, and both employability and attitudinal capabilities that will enable them to adjust to life's inconsistencies.

General program elements for both in-school and out-of-school youth include:

- assisting young people in achieving a secondary school diploma or its equivalent;
- exposing youth to the world of work and allowing youth to apply what they have learned in school or other training settings to various workplace experiences;
- assisting youth achieve the learning and employment goals that were agreed to between the case manager and the client. This would be measured through follow-up;
- obtaining skill (occupational and academic) training; and
- emphasizing leadership development for youth.

Each participant will be provided information on the full array of appropriate services that are available through the local one-stop system. Additionally, each participant will undergo an objective assessment of academic and occupational skill levels, service needs, and the development of an individual service strategy that tailors services and activities to effectively meet each youth's specific needs. Recent assessments (completed within the last year) and service strategies completed by a one-stop partner may be used to the extent possible, incorporating additional elements as necessary for WIA. Any youth served under WIA will receive some form of follow-up services for at least twelve months. Local programs will determine the specific mix of services for each youth based on each

participant's objective assessment and corresponding service strategy. The mix of activities for each youth will be tied to the age and maturity level of each individual youth. Local flexibility will be emphasized to bring positive social behaviors and soft skills training into the mix of services provided to each youth. Such skills, including appropriate attitudinal development and self esteem building, will help to enable even the hardest to serve young person to succeed in achieving his or her career goals.

Youth aged 14-17 may be provided a different track of services than a youth aged 18-24. Such programs for younger youth will generally emphasize the connection between school and work. Programs for older youth will provide valuable work experiences. In-school youth will be emphasized as well as out-of-school youth. Expenditures for out-of-school youth must be a minimum of 30% of total expenditures for youth. Youth aged 18 and over may be co-enrolled as both an adult and youth. Local program operators may determine for individuals in this age group the appropriate level and balance of youth and/or adult services. Examples of specific program elements that will be made available as options for youth participation include but are not limited to:

- Tutoring, study skills training and instruction, including dropout prevention strategies;
- alternative secondary school offerings;
- summer employment opportunities directly linked to academic and occupational learning;
- follow-up services for not less than 12 months after the completion of participation, as appropriate;
- paid and unpaid work experiences;
- occupational skill training;
- leadership development opportunities;
- supportive services such as assistive technology for youth with disabilities;
- adult mentoring; and
- comprehensive guidance and counseling.

Programs will be designed to meet the individual needs of each youth. Additionally, each program element will be funded using the most appropriate funding source and delivered in such fashion that the youth does not know who is paying for what service. Not all youth are appropriate for One-Stop system programs. As one example, for a youth with a disability, the Workforce Investment Act may pay for occupational skills training and the Vocational Rehabilitation may pay for supportive services or Vocational Rehabilitation may be a deliverer of rehabilitative services with the youth being introduced to the employment resources available through the One Stop center.

The special needs or barriers to employment of youth, including pregnant or parenting youth and disabled youth, will be identified during the objective assessment and service strategy design processes. These youth may be eligible for services under Title I of WIA either as an adult or youth and may be jointly case-managed with other One-Stop partners or community based organizations. Communication and collaboration between the

various funding sources identified in the service strategy to serve such youth are critical for a successful outcome.

The WIBs and Youth Councils will be the agents facilitating change in the delivery of youth services in the local region. The Youth Council will provide expertise in youth policy and assist the WIB in developing and recommending local youth employment and training policy and practice; will broaden the youth employment and training focus in the community to incorporate a youth development perspective; will establish linkages with other organizations serving youth in the local area; and will take into account a range of issues that can have an impact on the success of youth in the labor market.

In addition to all the responsibilities outlined in the Act and Regulations, the WIBs and Youth Councils will ensure coordination between all the entities providing services to youth occurs. The local workforce investment plan will identify, at a minimum, the goals and objectives for youth programs in the region, describe the types of services to be made available and describe the means of measuring the results of the programs. In addition, the WIB will identify eligible providers of youth activities by awarding grants or contracts on a competitive basis based on the recommendations of the youth council and on the criteria contained in the State Plan. The WIB will determine which services its staff will provide and which services will be contracted. Documentation on how this decision was made will be kept at the local level. The Request for Proposal for youth services will mirror the goals and objectives of the region. The RFP will be sent to all entities in the workforce service area that provides services to youth including but not limited to: school-to-work groups, welfare-to-work groups, alternative education programs, foster-care programs, Job Corps, youth opportunity grants, and other community based organizations which provide services to youth. If, in the administration of the summer program employment opportunities element of the local youth program, providers other than the grant recipient/fiscal agent are used to provide summer youth employment opportunities, these providers must be selected by awarding a grant or contract on a competitive basis, based on the recommendations of the youth council and on criteria contained in the State Plan. The local plan will indicate the local criteria used to award all grants and contracts and the names of the entities awarded those grants and contracts plus the services they will provide.

General coordination with all the various entities serving youth will occur on many levels. Such coordination may include but not be limited to: membership on the Youth Council, the local WIB, or other local boards; sharing documentation for eligibility determination; sharing assessment and case management notes on joint clients; joint service provision; and joint technical assistance sessions for staff.

Coordination will occur between WIA youth programs, Job Corps programs operating in the State, and grantees operating Youth Opportunity Grants. Such coordination may include joint marketing to youth for all programs, recruitment of youth for all programs, building upon the assessment results of one program rather than doing an entirely new assessment, enrollment into all programs which will assist the youth, any of the programs referring the youth to entities which may assist the youth with support services, placement

credit toward performance standards for all programs in which the youth is enrolled, and follow-up conducted to ensure the youth stays employed.

CEOs as the local grant recipients for the youth program and as a One-Stop partner are subject to the One-Stop provisions related to such partners. Also, they are responsible for connecting the youth program and its activities to the One-Stop system. The connection may include those that facilitate the coordination and provision of youth activities; linkages to the job market and employers; access for eligible youth to required information and services; and other activities designed to achieve the purposes of the WIA youth program and WIA youth activities.

Local youth, including youth under age 18 that are not eligible under WIA Title 1 youth program, may receive services through the One-Stop centers. However, services for such youth must be funded from sources that do not restrict eligibility for services, such as Wagner-Peyser. Indiana believes that the intent of WIA is to introduce youth, particularly out-of-school youth, to the services of the One-Stop system early in their development and to encourage the use of the One-Stop system as an entry point to obtaining education, training, and job search services.

A Youth Council in each local area was established by September 30, 1999 with year around youth programs under the Workforce Investment Act to begin implementation in Indiana on April 1, 2000. Local workforce investment plans will be revised once workforce investment boards finalize local youth policies and determined youth providers.

B.15. *Describe how your State will, in general, meet the Act's provisions regarding youth program design, in particular:*

preparation for post secondary educational opportunities;
strong linkages between academic and occupational learning;
preparation for unsubsidized employment opportunities;
effective linkages with intermediaries with strong employer connections;
alternative secondary school services;
summer employment opportunities;
paid and unpaid work experiences;
occupational skill training;
leadership development opportunities;
comprehensive guidance and counseling;
supportive services such as assistive technology for youth with disabilities; and
follow-up services. (Sections 112(b)(18) and 129(c) of WIA)

Regarding youth program design, the initial program activity undertaken by a youth will be an objective assessment. The objective assessment includes a review of the academic and occupational skill levels, as well as the service needs, of each youth. Next, an individual service strategy will be developed for each youth participant. The service strategy will identify an employment goal (including nontraditional employment as

appropriate), appropriate achievement objectives, and appropriate services for the participant taking into account the assessment. A new service strategy need not be developed if the provider determines it is appropriate to use a recent (within the last year) service strategy developed for the youth by another education or training provider. Lastly, services will be provided that prepare youth for post-secondary educational opportunities, link academic and occupational learning, prepare youth for employment, and provide connections to intermediary organizations linked to the job market and employers. The exact mix of program elements as indicated in Section 129(c)(2) provided to the youth will be based on the need of the youth as identified through the assessment and service strategy development processes.

The program elements will be designed locally based on guidance provided through the Youth Council to the WIB and through state and federal guidance and compliance with the legislation and regulation. Youth Councils are comprised of individuals with expertise in serving youth. Their knowledge of dealing with youth with barriers to employment will be reflected in their recommendations to the WIB on program design. The WIB, in turn, also contains members experienced in serving youth. In addition, the WIB has a private sector majority. The needs of businesses will be reflected in all the guidance issued through the WIB, including policy direction for youth programs.

Program elements for Year Round youth programs under WIA will be designed based on experiences learned under the Job Training Partnership Act. Knowledge is gained from both the programs with positive outcomes and non-positive outcomes. The experiences learned are shared between the local areas through conferences, roundtables and forums, written reports, and verbal exchanges.

Key to the design of program elements is local flexibility. Local flexibility is critical to meeting the workforce development and economic development needs of the region and assisting the State in meeting Indiana's workforce investment priorities.

How individual program elements will be provided is described below. How the optional program elements are designed and implemented will be provided by WIB and Youth Council members who sought recommendations from One Stop partners, including but not limited to area employers, and secondary, including alternative education, and post-secondary educators, parents, youth participants, and community based organizations providing services to youth, to name but a few.

“Preparation for post-secondary educational opportunities” will be provided using a variety of optional program elements. They include but are not limited to: tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; alternative secondary school offerings; summer employment opportunities directly linked to academic and occupational learning; adult mentoring; supportive services; and follow-up.

“Strong linkages between academic and occupational learning” will be sought to foster the

participation of eligible local youth. In Indiana such linkages include but are not limited to the State Student Assistance Commission, the Commission for Higher Education, the 21st Century Scholar program, the AmeriCorp program, the Department of Education, local secondary school corporations, including alternative education, post secondary institutions, Carl E. Perkins-funded programs, and school-to-work entities. [Indiana guidance].

“Preparation for unsubsidized employment opportunities” will be provided using the following optional program elements. They include but are not limited to: summer employment opportunities directly linked to academic and occupational learning; paid and unpaid work experiences, including internships and job shadowing; occupational skill training; leadership development opportunities, which may include such activities positive social behavior and soft skills, decision making, teamwork, and other activities; supportive services; adult mentoring for a duration of at least twelve months, which may occur both during and after program participation; follow-up services; and comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.

“Effective connections with intermediary organizations that provide strong links to the job market and employers” will be sought to foster the participation of eligible local youth. Such linkages include but are not limited to: One Stop centers, Job Corps, economic development entities, chambers of commerce, school-to-work entities, unions, and community based organizations that provide services to youth.

“Alternative secondary school services” will be achieved through coordination with the secondary school corporations located in the workforce service area and Indiana legislation (IC 20 – 10.1 – 4.6 through 20 – 10.1 – 4.6 –9). Such services may be provided to eligible youth who are at-risk of dropping out of traditional school settings, out-of-school youth who have dropped out of traditional school settings; pregnant or parenting youth; youth who learn through nontraditional teaching methods; or any youth classified by the school as a “disruptive student.”

WIBs in conjunction with school corporations may consider continuing the “enhancing alternative education:” projects begun January 1, 1999. Approximately 20 local projects were funded from a combination of \$2,000,000 of Job Training Partnership Act 8% Education Coordination, School-to-Work, and Carl D. Perkins funding. The purpose was to enhance alternative education programs in school corporations that received or were eligible to receive a Department of Education grant for alternative education programs (as defined by Indiana legislation.) While no more money for projects will be provided by the Department of Workforce Development, funds available for use at the local level may be used to continue the projects, e.g., WIA funding, school corporation funding, foundation funding, etc.

“Summer employment opportunities” will offer summer youth employment opportunities that link academic and occupational learning as part of the menu of services for youth.

However, not every youth is required to participate in summer employment opportunities.

The summer employment experience under WIA will be dramatically different from the one offered under the Job Training Partnership Act. The WIA program will not be a stand-alone program but part of a comprehensive strategy for addressing the youth's employment and training needs. It will provide direct linkages to academic and occupational learning and may provide other elements and strategies as appropriate to serve the needs and goals of the participants. Youth who participate in summer employment opportunities must be provided with a minimum of twelve months of follow up services, but the scope may be less intensive than those follow up services provided to youth who participated in year around services.

Chief elected officials (CEOs) and WIBs are responsible for ensuring that the local youth program provides summer employment opportunities to youth. The CEOs are the grant recipients for local youth funds unless another entity is chosen to be the grant recipient or fiscal agent. If providers other than the grant recipient/fiscal agent are used to provide summer youth employment opportunities, these providers must be selected by awarding a grant or contract on a competitive basis. The awarding of the grants or contracts will be, based on the recommendations of the youth council and on criteria contained in the State Plan.

“Paid and unpaid work experiences” are planned structured learning experiences that take place in a workplace for a limited period of time. Work experience workplaces may be in the private, for-profit sector; the non-profit sector; or the public sector. Work experiences are designed to enable youth to gain exposure to the working world and its requirements. Work experiences should help youth acquire the personal attributes, knowledge, and skills needed to obtain a job and advance in employment. The purpose is to provide the youth participant with the opportunities for career exploration and skill development and is not to benefit the employer, although the employer may, in fact, benefit from the activities performed by the youth. Work experience may be subsidized or unsubsidized and may include the following elements:

- instruction in employability skills or generic workplace skills such as those identified by the Secretary's commission on Achieving Necessary Skills (SCANS);
- exposure to various aspects of any industry;
- progressively more complex tasks;
- internships and job shadowing;
- the integration of basic academic skills into work activities;
- supported work, work adjustment, and other transition activities;
- entrepreneurship; and
- other elements designed to achieve the goals of work experiences;

In most cases, on-the-job training is not an appropriate work experience activity for youth participants under age 18. Local program operators may choose, however, to use this service strategy for eligible youth when it is appropriate based on the needs identified by the objective assessment of an individual youth participant.

WIA funds may be used to pay wages and related benefits for work experiences in the public; private; for-profit; or non-profit sectors. However, the objective assessment and individual service strategy must indicate that work experiences are appropriate.

“Occupational skill training” means training for youth for an occupation in demand in the area or the area in which the youth wants to relocate and for which the youth has been assessed. Training providers used will be the same as those listed on the Statewide eligible training provider list, to the extent possible.

“Leadership development opportunities” for youth may include the following:

- exposure to post-secondary educational opportunities;
- community and service learning projects;
- peer-centered activities, including peer mentoring and tutoring;
- organizational and team work training, including team leadership training;
- training in decision-making, including determining priorities;
- citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources;
- employability; and
- positive social behaviors. Positive social behaviors, often referred to as soft skills, are incorporated by many local programs as part of their menu of services which focus on areas that may include, but are not limited to, the following:
 - positive attitudinal development;
 - self esteem building;
 - cultural diversity training; and
 - work simulation activities.

“Comprehensive guidance and counseling” includes career counseling and personal counseling provided by a licensed professional [Indiana guidance] and may include drug and alcohol abuse counseling and referral, as appropriate.

“Supportive services such as assistive technology for youth with disabilities” means services that are necessary to enable the youth to participate in activities authorized under WIA and may include the following:

- linkages to community services;
- assistance with transportation costs;
- assistance with child care and dependent care costs;
- assistance with housing costs;
- referrals to medical services; and
- assistance with uniforms or other appropriate work attire and work-related tool costs, including such items as eyeglasses and protective eye gear.

“Follow-up services” for youth may include the following:

- the leadership development and supportive services activities listed above;
- regular contact with a youth participant’s employer, including assistance in

- addressing work-related problems that arise;
- assistance in securing better paying jobs, career development, and further education;
- work-related peer support groups;
- adult mentoring; and
- tracking the progress of youth in employment after training.

All youth participants must receive some form of follow-up services for not less than 12 months after the completion of participation, as appropriate. Follow-up services may be provided beyond twelve months at the State or WIB's discretion. The types of services provided and the duration of services must be determined based on the needs of the individual. The scope of these follow-up services may be less intensive for youth that have only participated in summer youth employment opportunities.

C. System Infrastructure

How will the State enhance the systems necessary to operate and manage your workforce investment system? In your discussion, you must address the following required elements:

- C.1.** *How will the locally-operated ITA system be managed in the State to maximize usage and improve the performance information on training providers? How will the State ensure the quality and integrity of the performance data?*

To enable the participant to make a responsible and informed choice about where best to receive training, Indiana's workforce investment system will use three mechanisms mandated by WIA:

- Individual Training Accounts;
- A statewide list of eligible training providers;
- Consumer information regarding training providers

Individual training accounts (ITAs) place training resources in the hand of the consumer. Rather than being directed to a provider of training by an agency, the consumers will be able to select high quality training on their own. The list of eligible training providers will be compiled by the local and state Workforce Investment Boards (WIBs). The local Boards will seek out vendors of high quality training with relevant curricula. The State will verify the quality of the vendors on the local lists and compile them into a statewide list. Consumer information about eligible training providers will be made available to all training seekers through the One-Stop service delivery system.

Through its monitoring and oversight activities, the State of Indiana will ensure that all training services (except for on-the-job training and customized training) be provided through the use of ITAs and that eligible individuals shall receive ITAs through the One-

Stop delivery system. Further, Indiana has consulted with local service providers and training institutions in the development of policies that will regulate local areas regarding the selection of eligible training providers, the issuance and use of ITAs, and the availability of consumer information. These policies have been distributed to Chief Elected Officials and will be distributed to WIBs and One-Stop operators as soon as those entities are in place. The ITA policy is in Attachment #3.

C.2. *How will State improve technical & staff capacity to increase reportable services & entered employment outcomes of the Wagner-Peyser Act? How will State use technology such as Jobline, "swipe card" technology, a community voice mail system or other methods to build a mediated and electronic labor exchange network? How will State use America's Job Bank/State Job Bank Internet Linkages to encourage employers to enter their own job orders on the Internet?*

Capacity Building

Governor O'Bannon has adopted the concept of Lifelong Learning as a key to improving the quality of services provided by the workforce development system in Indiana. The Lifelong Learning Institute (LLLI) was established in February of 1998 to promote this concept. The Department of Workforce Development (DWD) and its partner organizations are working together to create a comprehensive approach to staff training and career development through the Institute.

The LLLI is under the overall guidance of the Deputy Commissioner of Field Operations. The Director of the Institute oversees two units: Training/Capacity Building and Regional Training and Program Support.

Planning for ongoing operations of the Institute is underway. A LLLI Steering Committee has been formed to assist with strategic planning and promoting training partnerships. The committee includes representation from the following groups: DWD frontline staff, Workforce Development Center (WDC) managers, state-level employee unions, Indiana Job Training Administrators and Service Delivery Areas, State Human Resource Investment Council, and the DWD Executive Team. The Institute and the Steering Committee are overseeing subcommittees looking at issues which include: staff development, career ladders, training staff coordination/peer training, evaluation, resources, and strategic planning.

One of the key areas where the Institute will look to expand is in providing joint training and capacity building opportunities with WIA partners. The Director of the Lifelong Learning Institute recently facilitated two meetings of the WIA Training and Capacity Building Workgroup.

Training sessions currently underway or being planned relevant to WIA implementation include:

-WIA Training (CSW)

- WIA Implementation Training (Greg Newton and Associates)
- Orientation to and training on DWD's new Customer Self Service Computer System
- One-Stop Customer Triage Training (New York Employment and Training institute)
- Customer Service Training
- Core Counseling Training
- LEO Training

In addition, training sessions are being explored that will cover the Government Performance and Results Act (GPRA) and the seven Malcolm Baldrige Principles.

Technology

Other portions of the State Plan have already addressed the extensive investment in technology that the State of Indiana has invested in labor exchange systems to insure that both job seekers and employers have access to an effective and easy to use system. The primary component of this "new technology" is the Customer Self Service System (CS3). The original design of CS3 included an employer Internet component that allows employers to directly enter their job orders, to perform real time matches and to initiate referrals for candidates that they wish to interview. This component is scheduled to be implemented in late first quarter or early second quarter of 1999.

In addition, CS3 was built as a client server system using a dedicated network. However, the programs were built with the capacity to be re-compiled into an Internet application. DWD is already considering having the applicant view re-compiled so that job seekers can use Internet access to enter their applications into CS3 and to do on-line job searches and referrals. This dramatically increases the number of job seekers that can use the system. CS3 capacity would no longer be limited by the size of our offices and the number of PCs attached to our network. It would be available to the world. Instant access may be available in 6-9 months.

The "staff view" of CS3 can also be re-compiled as an Internet application. This would allow us to provide CS3 to smaller offices that are not part of the dedicated network, to partner agencies that are not always located in the One-Stop facilities, and to other interested parties in other locations throughout the state.

A final option for CS3 involves America's Job Bank (AJB). We have already provided customer Internet access in all of our One-Stop centers. We promote AJB to our job seekers and employers. With the expanded network (LANs and WAN) and with the State's high-speed Internet access, we will be able to provide expanded Internet access to our customers, our partners and our staff. CS3 can also provide hot links to Internet sites such as AJB. Once a customer has used CS3, the system can ask them if they wish to also enter their resume into AJB (or for an employer enter their job order into AJB). If they entered yes or clicked on a hot link, the system could immediately bring them to AJB.

Through the use of staff capacity building for all One-Stop staff and through current and

proposed technological advances, Indiana is in an excellent position to dramatically expand the number of job seekers and employers who use CS3 and AJB. Our five-year targets conservatively call for a 95% increase in the number of job seekers using the system and a 75% increase in the number of employers using the system. Reportable services and entered employment numbers will increase as a result of the dramatic increase in the customer base.

C.3. *How will the State improve its employment statistics system to ensure that One-Stop systems customers receive timely, accurate and relevant information about local, State and national labor markets?*

LMI Technology Project - A Superior Interactive Web Site

This project will provide the delivery vehicle for the state's employment statistics system required by the Workforce Investment Act of 1998. It will augment the One-Stop initiative begun several years ago.

The need for a system to provide labor market information to our customers in a user-friendly, timely and useable manner was well stated in several focus groups. These groups were made up of economic developers both local and from the Department of Commerce, employers, educators, service providers, and DWD field staff. An interactive web site is a means to fulfill that need for the widest spectrum of customers.

The site will be interactive. That is, customers:

- can ask direct questions;
- select from menus of questions frequently asked by similar customers;
- select ready made data tables;
- construct their own data tables with the ability to compare several categories of information;

To design, develop, and implement an interactive web site requires time and experience. After reviewing the best practices of other states, we decided to make use of the technology which had already been developed. By starting with that finished product; adding our improvements and Indiana unique requirements, we can save both time and money.

The results of this project will be the provision of labor market and related business information at one location, in a timely manner, for job seekers, employers, economic development, students, state and local government agencies. The anticipated implementation date is prior to the end of PY '99.

V. Performance Management

- A.** *For each of the core indicators identified in Section II of these instructions, the customer satisfaction indicator and additional state measures, explain how the State worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the State-adjusted levels of performance established for other State (if available), taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will help you achieve customer satisfaction and continuous improvement over the five years of the Plan.*

Indiana developed its proposed performance levels for PY'99 using administrative records exclusively. Since performance measures were not finalized by DOL until the end of May, 1999, there was no opportunity to work with local boards prior to submission of this plan. For PY'99, Indiana has decided to use the state-negotiated performance levels as the minimum PY'99 outcome levels for each workforce service area. Local officials may request adjusted levels, but not below the state-negotiated performance levels.

Our proposed levels are based on the combined performance of Indiana's employment and training programs for the prior two program years. Since the first year of WIA performance will largely reflect the outcomes of the terminees from the predecessor program, these targets should be reasonable.

For the younger youth measures, there exists no corresponding historical data. These performance goals were established utilizing strategic policy philosophies about reasonable outcome expectations given program design and probable customer mix.

For customer satisfaction, we have established a state goal. Utilizing the satisfaction questions which have been defined by DOL, over half of our citizens and employers will rate us above average or excellent. Our customer satisfaction survey instrument has already been modified to collect this information. With twelve years of experience in measuring our customers' satisfaction, we believe that this is an attainable goal and in keeping with our commitment to continuous improvement.

- B.** *Does your State have common data system and reporting processes in place to track progress? If so, describe what data will be collected from the various One-Stop partners beyond that required by DOL, your use of quarterly wage records, and how the statewide system will have access to the information needed to continuously improve. If not, describe the state's time-frame and plans for transitioning from the JTPA to the WIA tracking system, your planned use of quarterly wage records, and the projected time frame for the system to be operational.*

Indiana has recently implemented a Customer Self-Service System (CS3). This system currently provides labor exchange services in Indiana and is intended to evolve into the common data system to track activities, progress, and performance for clients receiving core, intensive, or training services.

For PY '99, the CS3 system will be used to track activities, progress, and some performance outcomes for clients receiving core services under Wagner-Peyser and/or WIA. The system will also be used for tracking some clients receiving intensive services.

For other clients receiving intensive services and all clients receiving training services, the Participant Management Information System (PMIS) will be used in PY'99. This system consists of a number of local data systems capable of submission of common data to DWD, and a reporting system that allows compilation of the data for reporting purposes.

Since CS3 is a mainframe/server application, the cost and effort to modify it are significant. Without clarity about WIA data collection requirements, making changes to CS3 for PY '99 could not be implemented. During PY '99, the State intends to examine the feasibility and cost of incorporating the functionality of the current PMIS system into the CS3 system.

WIA reporting in PY '99 will be accomplished using data extract interfaces with UI wage records, the CS3 system and the PMIS system. We have already developed this procedure. We have also contacted Wage Record Information System (WRIS) about early entry into their system as a pilot state for general wage record data sharing. Since we do not know when that system will be fully functional, we have contacted our surrounding states about the possibility of developing data sharing agreements. One is currently in place with Illinois, whom we expect to be our most productive partner. We believe that the confidentiality agreement we have in our contract with Illinois (as well as Indiana state agencies that also have limited access to our UI wage record database) adequately addresses any privacy concerns.

Performance data necessary for continuous improvement will be provided to One-Stop operators, WIBs, elected officials, and the State Board through CS3 and PMIS reports. Each area has access to its own data for this purpose, and the State Board will be provided information by DWD. Training on continuous improvement techniques and how to utilize the data will be contracted through Greg Newton and Associates. Training on Malcomb Baldrige criteria has been contracted to Corporation for a Skilled Workforce to work with WIBs.

- C. *Describe the system(s) by which your State measures customer satisfaction for both job seekers and employers (beyond those elements required by the Department). How will customer satisfaction data be evaluated, disseminated locally, and used to improve the service delivery system and customer satisfaction? Describe any targeted applicant groups under WIA Title I, the Wagner-Peyser Act or Title 38 (Veterans Employment Training Programs) that*

your State will track. If no system is currently in place, describe your State's plan to collect this information.

For measurement of customer satisfaction, two strategies will be employed. To measure customer satisfaction for clients receiving core services and intensive services through the CS3 system, a mail survey will be used. A mail survey will also be used to measure employer satisfaction. For clients receiving intensive services or training services, a mail or phone survey will be used. A mail survey will also be used to measure employer satisfaction. For clients receiving intensive services or training services, a mail or phone survey will be used after program completion.

The customer satisfaction data will be entered directly into our CS3 system as it is received and will be available in report form on a monthly basis. The raw data will be available daily for individual inquiries which field managers can access whenever they choose.

Indiana will track all legislated targeted groups as part of the standard data collection system. To the extent that local areas describe other targeted applicant groups, they will be able to use both CS3 and PMIS to track services and outcomes to these populations. Again, data will be available as it is collected by the local entities.

D. *Describe any actions the Governor and State Board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system.*

As indicated earlier in the plan, the Human Resource Investment Council has five primary areas where it will coordinate and interact with the local Workforce Investment Boards and other key partners to help ensure collaboration and continuous improvement of the statewide workforce investment system:

Act as the public forum for the ongoing development of the State WIA Plan over the five year planning period.

Build the leadership capacity of the new Workforce Investment Boards and the local elected officials to create a comprehensive new workforce investment system and not a new version of the old employment and training programs. These boards will not only have to address all three elements of the workforce, incoming, in transition, and incumbent in order to succeed, but they will have to forge new and effective links to the business and economic development community.

Encourage the Local Boards and other key partners to join in the development of a consistent unified plan that serves as both a strategic opportunity to promote the Governor's vision of high performance and continuous improvement across all publicly supported funded investments.

Incorporate the Workforce Investment Act performance accountability requirements into the Human Resource Investment Council's overall mission of developing a broad Human Investment Scorecard, that makes it possible to answer the questions: are we making good investments, and how can we make better investments in the future?

Practice cross-membership between the Council and Local Boards whenever possible by encouraging Chief Elected Officials to appoint Council members to the Local Boards, and by creating flexible membership opportunities for local representation on the Council's 21st Century Workforce Investment Committee.

- E.** *How will the State and local Boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the State take if performance falls short of expectations? How will the Boards use the review process to reinforce the strategic directions of the system?*

DWD intends to treat PY'99 as a transition year in which WIA performance will be tracked, but not sanctioned. This philosophy is consistent with the strategy being employed by the Department of Labor (DOL) for all early implementation states.

Indiana also intends to use an aggressive incentive program to support achievement of its performance goals. Indiana's incentive awards program for PY'99 performance will incorporate both the state's system goals as well as DOL's mandatory measures for adults, dislocated workers and older youth.

Half of the WIA awards will be based upon the state's system goals and performance in the local planning regions. This award will be supplemented using Wagner-Peyser 7b funds. One half of the Wagner-Peyser 7b funds which get earmarked for incentive awards will be added to the half of the WIA awards being used to reward regional cooperation. The other half of the Wagner-Peyser 7b funds earmarked for incentive awards will be used to reward Workforce Development Centers (WDCs) which meet all published WDC performance measures. We will also pursue other partner contributions for meeting Indiana's system measures.

The other half of the WIA awards will be based upon DOL's mandatory measures and performance in the WSAs. This will emphasize exemplary performance on the local WIA performance measures. Awards will be made using PY'00 funds, and until we know our allocation, the actual amount available for awards will not be known.

To receive an award for meeting the state's system goals, the local planning region must meet all three system goals for that region (customer satisfaction, wage gains and skill gains). Since WIA awards must be distributed to local Workforce

Investment Boards (WIBs), in those instances where more than one WSA shares a local planning region the awards for meeting the system goals will be distributed proportionately to the WIBs. This will be based upon their individual contribution to the region's success (as measured by the number of wage gainers and skill increasers residing in each county).

The award for meeting the system goals must be used for enhancing one-stops. The use of these funds will be determined by the WIB or WIBs in that planning region.

To receive an award for meeting the DOL mandatory measures, the WIB in each WSA must meet at least seven of the nine employment and wage measures (entered employment rate, retention rate, earnings gain and replacement wage rate). Awards will be distributed to successful WIBs based upon their relative share of the state's PY'00 WIA allocation formula.

The remaining DOL mandatory measures (client satisfaction index, employer satisfaction index and credential rates) will be tracked but not rewarded under this portion of the PY'99 policy. The broader system customer satisfaction and skills increase goals capture the state's emphasis on a one-stop system.

The state and local Boards will oversee the one-stop system through evaluation of values and strategic direction, operational impacts, responsiveness to the community, and assessment of internal strengths and weaknesses. The following outlines the oversight expectations:

Evaluation of how well the values and strategic direction of the system are being met

(WIB defines the values/direction for its area). Examples:

- Growth and diversification of customer base.
- Growth and diversification of services available.
- Streamlining of client intake and case management.
- Community-based access to services.
- Increased level of access for each resource.
- Diversification of service providers.
- Continuity of service provision among partners.
- Fair and equitable distribution of resources within the area.

Evaluation of operational impacts

(Consistent with the goals of the one-stop system). Examples:

- Inventory of types of data needed and timetable for effective oversight of system outcomes.
- Trends in meeting performance expectations for the various partner resources.
- Trends in meeting regional labor market goals.

- Expenditure trends and adherence to cost limitations for all partners.
- Assessment of service gaps (e.g., transportation).
- Review of one-stop center business plan objectives.
- Review of monitoring and audit reports and resolution.
- Training is in demand occupations, and the demand occupations have been appropriately identified.

Evaluation of responsiveness to the community

Examples:

- Forums for customers (job seekers, employers, and youth) and service providers to identify issues.
- Interaction with other boards and councils in the area.
- Visibility of the system in the community.
- Development of linkages and working relationships with key community stakeholders.

Internal oversight

Examples:

- Assessment of attendance and active participation of WIB, youth council, and incumbent worker council members in meetings and committees.
- Effective committee structure.
- Methods for evaluating performance of staff to WIB.
 - Evaluation of "honest broker" function; i.e., independence of board staff from service delivery.
 - Orientations for new members
 - Participation in statewide WIB network.
 - Effective links with all local elected officials in the area.
 - Effective linkage with State Human Resource Investment Council and State agencies for resolving performance issues.

See part III. Assessment, State Readiness Analysis, section B.1.a.v. for a description of how the state and local boards will work together to identify issues and resolve performance problems.

Sanctions for poor performance are a last resort. The state will ensure technical assistance is provided when appropriate. Please see Attachment #12 for Indiana's sanctions policy. The policy indicates how technical assistance will be made available and the progression of correction action and sanctions as necessary.

VI. Assurances

1. The State assures that it will establish, in accordance with section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through the allotments made under sections 127 and 132. (112(b)(11).)
2. The State assures that it will comply with section 184(a)(6), which requires the Governor to, every two years, certify to the Secretary, that -
 - (A) the State has implemented the uniform administrative requirements referred to in section 184(a)(3),
 - (B) the State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and
 - (C) the State has taken appropriate action to secure compliance pursuant to section 184(a)(5). (184(a)(6).)
3. The State assures that the adult and youth funds received under the Workforce Investment Act will be distributed equitably throughout the State, and that no local areas will suffer significant shifts in funding from year to year. (112(b)(12)(B).)
4. The State assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, to the extent practicable. (112)(b)(17)(B).)
5. The State assures that the Governor shall, once every two years, certify one local board for each local area in the State. (117(c)(2).)
6. The State assures that it will comply with the confidentiality requirements of section 136(f)(3).
7. The State assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (181(b)(7).)
8. The State assures that it will comply with the nondiscrimination provisions of section 188, including an assurance that a Methods of Administration has been developed and implemented ((188.))
9. The State assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (185.)
10. The State assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189(c) of the Act) which are

necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and agreements will be provided to the State by the ETA Office of Grants and Contract Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:

General Administrative Requirements:

| | |
|---|---|
| 29 CFR part 97 | --Uniform Administrative Requirements for State and Local Governments (as amended by the Act) |
| 29 CFR Part 96 (as amended by OMB Circular A-133) | --Single Audit Act |
| OMB Circular A-87 | --Cost Principles (as amended by the Act) |

Assurances and Certifications:

| | |
|-------------------|--|
| SF 424 B | --Assurances for nonconstruction Programs |
| 29 CFR Part 31,32 | --Nondiscrimination for Equal Opportunity Assurance (and regulation) |
| CFR part 93 | --Certification Regarding Lobbying (and regulation) |
| 29 CFR Part 98 | --Drug Free Workplace and Debarment and Suspension Certifications (and regulation) |

Special Clauses/Provisions:

Other special assurances or provisions as may be required under Federal law or policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive or Congressional mandates.

11. The State certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.
12. The State certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S. Chapter 41 and 20 CFR part 1001.
13. The State certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees.
14. The State certifies that the Workforce Investment Act section 167 grantees, advocacy groups as described in the Wagner-Peyser Act (e.g., veterans, migrant and seasonal farm workers, people with disabilities, UI claimants), the State monitor advocate, agricultural organizations, and employers were given the opportunity to comment on the Wagner-Peyser Act grant document for agricultural Services and local office affirmative action plans and that affirmative action plans have been included for designated offices.

- 15.** The State assures that it will comply with the annual Migrant and Seasonal Farm worker significant office requirements in accordance with 20 CFR part 653.
- 16.** The State has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.
- 17.** The State assures that it will comply with section 504 of the Rehabilitation Act of 1973 (29 USC 794) and the American's with Disabilities Act of 1990 (42 USC 12101 et seq).
- 18.** The State assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act legislation, regulations, written Department of Labor Guidance, and all other applicable Federal and State laws.

VII. Program Administration Designees and Plan Signature

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|---|--|
| Name of WIA Title I Grant Recipient Agency: | Indiana Department of Workforce Development |
| Address: | Indiana Government Center South 10 N. Senate Ave. Indianapolis, IN. 46204-2277 |
| Telephone Number: | (317) 232-7670 |
| Facsimile Number: | (317) 233-4793 |
| E-Mail Address: | nbabich@dwd.state.in.us |

| | |
|---|--|
| Name of State WIA Title I Signatory Official: | Craig E. Hartzer, Commissioner |
| Address: | Indiana Government Center South 10 North Senate Avenue Indianapolis, IN 46204-2277 |
| Telephone Number: | (317) 232-7670 |
| Facsimile Number: | (317) 233-4793 |
| E-mail Address: | chartzer@dwd.state.in.us |

| | |
|--|--|
| Name of WIA Title I Liaison: Jeffrey L. Golc | |
| Address: | Indiana Government Center South 10 North Senate Avenue Indianapolis, IN 46204-2277 |
| Telephone: | (317) 233-3919 |
| Facsimile Number: | (317) 233-4793 |
| E-mail Address: | jgolc@dwd.state.in.us |

| | |
|---|--|
| Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency: | |
| Indiana Department of Workforce Development | |
| Address: | Indiana Government Center South 10 North Senate Avenue Indianapolis, IN 46204-2277 |
| Telephone Number: | (317) 232-7670 |
| Facsimile Number: | (317) 233-4793 |
| E-mail Address: | chartzer@dwd.state.in.us |

| | |
|---|--|
| Name and title of State Employment Security Administrator (Signatory Official): | |
| Craig E. Hartzer, Commissioner | |
| Address: | Indiana Government Center South 10 North Senate Avenue Indianapolis, IN 46204-2277 |
| Telephone Number: | (317) 232-7670 |
| Facsimile Number: | (317) 233-4793 |
| E-mail Address: | chartzer@dwd.state.in.us |

As the Governor, I certify that for the State of Indiana, the agencies and officials designated above have been duly designated to represent the State in the capacities indicated for the Workforce Investment Act, Title I, and Wagner-Peyser Act grant programs. Subsequent Changes in the designation of officials will be provided to the U.S. Department of Labor as such changes occur.

I further certify that we will operate our Workforce Investment Act and Wagner-Peyser Act programs in accordance with this Plan and the assurances herein.

Frank O'Bannon
Governor, State of Indiana

Date

